Appendix B

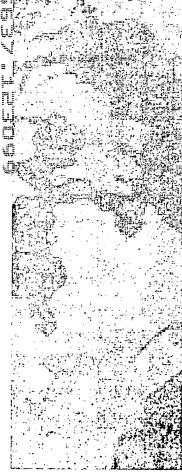# Vision Mutual Fund Gat way Ext rnal Funds Technical Manuals

Vision

Vision Mutual Fund Gateway®
External Fund Technical Guide

Inquiry

November 22, 1999

DST
S Y S T E M S

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Vision Inquiry External Fund Manual
November 22, 1999

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Chapter 1:

About Vision Mutual Fund Gateway

Product Overview

DST Vision is an interactive Web site that allows financial intermediaries such as broker/dealers and financial advisors to view fund, shareowner account, and dealer information in a real-time environment. Information such as shareowner positions, account options, transaction histories, fund pricing and yields, and hypothetical CDSC redemption charge calculations are some of the features available through Vision. The current Vision Web site offers inquiry capabilities, e-mail, fund-controlled content such as marketing messages, hyperlinking, fulfillment connectivity, transaction processing and new account establishment.

Vision was originally an exclusive product for those mutual funds processed on the TA2000 mutual fund record-keeping system. However, DST has made Vision available to non-TA2000 mutual funds through a proprietary infrastructure that is positioned between the Vision Web site and the record-keeping systems of the mutual funds. This infrastructure allows a single point of entry for the operator while preserving the uniqueness, integrity, security, and independence of the various transfer agency systems used by the funds. . When an operator requests information through Vision, the request is routed to the appropriate record-keeping system through one of the enclosed standardized messages, and the appropriate information is returned to the operator. Any data feed or format is translated into the appropriate response for the waiting or requesting system.

Vision provides a single source of customer account information through the Internet. By using DST's Vision architecture, the following benefits can be achieved:

- DST maintains all front-end Web site applications, software, hardware and support functions.

- The risks associated with attracting financial intermediaries to a fund specific product can be minimized, if not eliminated, by being a part of the consolidated offering available through Vision.

- If desired, Vision is accessible via the fund's corporate Web site through a seamless hyperlink. Therefore, only one interface to support multiple front ends is needed.

- The fund may pick and choose which functions to offer at the product and individual operator level.

- Vision allows the fund to standardize and automate the daily interactions with the very diverse universe of independent broker/dealers and financial advisors.

- Since Vision is a browser-based application, there are no software distribution or installation support issues.

- Vision is optimized for 800 X 600 resolution, although other resolutions may be used.

This manual is designed to familiarize the fund with the basic technical processes and content specifications for building an interface to Vision.

A demonstration site is available through the Internet to review Vision's information and capabilities. Contact a DST Vision representative to obtain the demonstration site address, ID, and password.

Connectivity

Vision is a Web browser based application that provides financial intermediaries with access to their clients' mutual fund accounts.

This document describes the connectivity and infrastructure requirements that allow non-TA2000 transfer agencies to connect to Vision, thereby allowing intermediaries to access customer accounts that reside on those systems.

DST architecture provides a seamless integration between the client presentation and the host applications and databases by de-coupling the presentation from the application and databases. This de-coupling allows the client to provide a consistent presentation of the data to the Web browser, regardless of where the data or applications reside.

In order to provide this seamless integration, the DST architecture provides protocol translation and transaction mapping between the front-end client presentation code and the back-end TA application code and data.

DST Infrastructure

| TA2000 Server Region | TA2000 Fund Company Application & Data Server Regions | Non-TA2000 Fund Company Application & Data Servers |

The Vision client is a standard Web browser that connects to DST Web servers via the Internet. Vision can also connect to Web servers through Intranet or Extranet. The DST Vision server dynamically builds the HTML pages that are displayed in the clients' browsers. It decodes the HTML pages received from the browsers into a DST Vision transaction and forwards the transaction to the DST protocol converter and switch. The DST switch determines which TA system owns the application and data for the request. It translates the request into a format and protocol that the TA system supports and forwards it to the TA system for processing. Once the TA system has satisfied the request, it sends a response back to the DST switch. The DST switch converts the response back into a DST Vision transaction response and sends it back to the DST Vision server. The server decodes the DST Vision transaction response and dynamically builds the HTML pages to be delivered and display in the client's browser.

The DST switch handles all data translation from ASCII to EBCDIC and back if required.

Supported Protocols

DST architecture can support either SNA APPC (LU6.2) over token ring or TCP/IP through a routed network between the DST switch and the TA host systems. With either protocol the DST switch acts as the master and the TA host as the slave in a standard client/server arrangement.

TCP/IP

The TCP/IP is supported with standard streams via a socket interface. The DST switch will open a socket for each concurrent request. Once a socket is open it will remain open until the server closes it or the switch application is shut down. When a transaction response is received and processed, the socket will be reused for the next request. The DST switch application can limit the concurrent number of sockets opened to the hosts and can be configured to queue additional requests. All TCP/IP data packets must contain a length field in the header of the application data stream.

SNA APPC (LU6.2)

The DST switch will initiate all requests and will allocate and de-allocate the conversation after each transaction. The DST switch supports parallel sessions with the number of sessions configured to match the host. The switch application can be configured to queue additional concurrent requests that exceed the number of sessions. The switch can support LU-LU security as well as conversational security. The maximum data packet that the switch can accommodate is 32K (32,767 bytes).

Data Formats

The DST switch can handle data in many different formats and sizes and can remove leading or trailing spaces or zeros. The switch can also truncate data on a field by field basis. DST does not support packed or binary data due to the ASCII to ECBDIC conversions. The data must be in character (displayable) format.

Chapter 2:

Security

Traditionally, the only access to the DST host system has been through applications developed in-house using a secured private network. These applications could be trusted to act in a reasonable manner and perform any required verification. The private network made infiltration almost impossible.

Vision is one of many applications that will allow access from outside this closed environment. Outside access places more responsibility on the Host to ensure data integrity and security.

Stateless Security

Traditional security models require sign-on and sign-off transactions. Follow-up security is then done by the connection. In this new environment many operators will be using the same connection and this connection security will be no longer be adequate. In the Vision model, the operator's ID and password is included in every transaction and must be verified each time.

Untrusted End-User Applications

In addition to the stateless security mentioned above, the host can no longer count on the end-user application to act reasonably. Trusted or DST-developed applications have been used to filter information and display only the data allowed for the operator. Now the host must filter the data and return only what the operator is authorized to access. The host cannot depend on the operator application to fill the transaction with appropriate data. The host must be able to respond appropriately with any combination of data (appropriate or not) and preserve the integrity of the underlying data structures.

Operator ID Establishment and Security

An operator requesting access to a mutual fund company not on the DST TA2000 system will access the same Vision Online Sign-up Form (available at http://www.dstvisioninfo.com) that is used to grant operators access to mutual fund companies on the DST TA2000 system. This form is completed on-line and generates a Vision Operator ID Setup Request e-mail that is automatically sent to the DST Vision department.

Note: The Operator ID may be up to 10 characters in length.

Upon receipt at DST, the Vision department forwards a Vision authorization request to the appropriate mutual fund company(s) for approval. This request

contains all pertinent information needed to verify the operator's request as well as the DST-assigned Vision Operator ID.

The mutual fund company will reply to the request. The mutual fund company may choose to provide its own internally assigned Operator ID; however, if none is provided, the DST assigned Operator ID will be used. If the mutual fund company chooses to provide its own internal Operator ID, the ID will be maintained on a cross-reference database on the DST system. This will enable the operator to gain access to the Vision Web site with only one Operator ID and password.

Operator ID/Password Validation

When an operator signs on to Vision, the Vision Web application sends the Operator ID and password to DST. Upon receipt at DST, the password is encrypted and compared against the encrypted password.

Upon password validation, a list of authorized TA2000 mutual fund companies is returned.

The Vision Cross-Reference Database is again utilized to determine what non-TA2000 mutual fund companies to add to the list of authorized mutual fund companies.

An alphabetically ordered mutual fund company list that includes both TA2000 mutual fund companies and non-TA2000 mutual fund companies is returned and displayed.

When an operator selects a non-TA2000 mutual fund company from the list, the request is sent from the Vision Web application to the DST switch. The DST switch will:

- Send a security check request to DST's CICS server region, validate the password, and, using the cross reference database, validate that the Operator ID is authorized for this non-TA2000 mutual fund company. The DST switch will then return the non-TA2000 Operator ID (which may or may not be identical to the DST assigned Vision Operator ID).

- Route the request, using the non-TA2000 Operator ID, to the non-TA2000 mutual fund company's system across a dedicated network line. The password field will always be blank.

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Therefore, the Vision authorization and sign-on process would be as follows:

- DST receives a request from Representative Sarah Williams for Vision access to the ABC Mutual Fund Company (not on the DST TA2000 System). DST forwards Sarah's request to the ABC Mutual Fund Company, and references Sarah's DST assigned Vision Operator ID of: "VS00001693." The ABC Mutual Fund Company chooses to assign Sarah an Operator ID from its own internal database of: "ABC0000067."

- Sarah Williams will sign on to the Vision System with the DST assigned Vision Operator ID "VS00001693." This ID will provide Sarah Williams access to any authorized TA2000 Mutual Fund and/or non-TA2000 Mutual Fund Company. In addition, by means of the cross reference database, Sarah Williams will automatically have access to ABC Mutual Fund Company.

Vision Operator ID Cross Reference Database

Name f Intermediary	Non-TA2000 Client Assigned Operat r ID	DST Assigned Operat r ID	Authorized Mutual Fund Companies Accessible Through Visi n (non-TA2000 fund companies)
Sarah Williams	ABC0000067	VS00001693	Prime Investors Mutual Fund Company
Sarah Williams	XYZ3456789	VS00001693	Global Opportunities Mutual Fund Company
John Adams	VS00001695 (client chooses to use the DST assigned Operator ID)	VS00001695	New Horizon Mutual Fund Company

Change Password

Change Password window

Operator ID

Your ID may be up to 10 alphanumeric characters long. It is assigned to you by the Vision Group. Vision is secured by operator ID, which can be restricted at the dealer, dealer/branch, or dealer/representative level or by tax ID. The type of security associated with your Operator ID will affect the account information displayed on Vision windows.

Password

Your password must be a minimum of seven and a maximum of eight characters long. The password must contain at least one non-alpha, non-numeric character

from the following list: !@#%_&*( )-/?_=+/ The password will appear as a
series of asterisks. After three incorrect attempts to enter your password, your
operator ID will be disabled. To obtain an initial password for your operator ID,
contact the Vision group at (816) 843-6712. To reset your password, contact the
DST Help Desk at (800) 228-3574.

Change Password

The Change Password window allows you to change your Vision password.

Verify Password

You must successfully confirm a new password before it will be accepted. Type
your new password exactly as you typed it in the Change Password field. If you
do not verify your password correctly, the old password will remain in effect.

Data Encryption

The Vision Web site uses Secured Socket Layer (SSL) to encrypt all data moving
across the Internet. Mutual fund clients have the option of securing their data at a
40-bit or 128-bit encryption level.

Messages

All communications between the Web Server and the host system will be via
messages. These messages are state-less, meaning that there is no requirement
that one transaction must be preceded by another. In some cases an index is
returned to allow the operator to request the next records in sequence. In practice,
certain messages will always be preceded by others, but there is no system
requirement.

All messages will have a unique identifier name and a method to match replies
with corresponding requests. Both of these values will be system dependent and
not specified in the definitions outlined in Chapter 6.

Not all systems (management companies) will support the same features. The
fund's implementation worksheet is used to provide system operators with the
proper options.

Chapter 3:

Account Linking/Access Filters–Operator ID

DST assigns each user an Operator (Vision) sign-on ID. This ID has a unique association with each individual management company (fund group) that has been authorized for the operator. This association allows the fund group's name to be listed on the main entry window of the Vision Web site when the operator signs on. The operator then selects a fund group to research from the authorized list of funds.

DST supplies the Operator ID to the mutual fund so the fund can apply the appropriate security and password. The fund has several ways to link accounts or secure account access. Several different types of intermediaries use Vision, so Vision supports different layers of security, in order to both prevent and/or enable different levels of account access. Therefore, it is critical that all accounts linked to the operator be accessible with a single logon.

The following types of account linking are available through Vision:

Dealer Level Access

Dealer level access, most commonly used in a load fund environment, allows the operator to access any account with the assigned dealer number(s) regardless of the branch number, representative number, or tax ID on the account. This type of security allows the operator to access any account, regardless of the branch or representative, that falls under that dealer number. In the no-load environment, it is common for the accounts to have an advisor number instead of a dealer number. DST still refers to this as dealer level access. Some entry fields may be pre-filled or not displayed based on the level of security established for an Operator ID.

Dealer/Branch Level Access

Dealer/branch level access allows the operator to access any accounts with the same dealer and branch number(s). Operators can access any representative account information under that branch(es). However, they cannot access accounts within other branches. Some entry fields may be pre-filled or not displayed based on the level of security established for the Operator ID.

Dealer/Representative Level Access

Dealer/Representative level access allows the operator to access any account with a matching dealer and representative number(s). The branch number is not

included in this level of security. The security file for the Vision ID and the accounts accessed must have matching dealer numbers and representative numbers. This level of security is most commonly used by representatives or advisors to view their own customers' accounts. The representative number is normally unique for an individual representative, and often the representative is associated with multiple branches. The exclusion of the branch number in dealer/representative level security allows representatives to access their customers' accounts across multiple branches. Some entry fields may be pre-filled or not displayed based on the level of security established for the Operator ID.

Tax ID/SSN Level Access

An operator ID with tax ID security only allows access to accounts with that specific tax ID or Social Security Number(s). This type of security is most commonly used by trust companies so all of their accounts can be linked by a single tax ID. The Rep/Advisor Summary link and Account Search by Rep/Advisor link do not display as a menu item when Tax ID/SSN level security is established for an Operator ID.

Unrestricted Security

An Operator ID may have only a management company assigned, with no additional security. This allows the operator to view any account under that management company. This type of security is most commonly used by the fund to view all accounts in its fund family.

Chapter 4:

Account Search and Summary Features

The following is a description of the various types of account searches that are offered through Vision. In addition to the basic search options, the operator has the ability to search within a specific fund or across the fund family. The Fund Account Search also allows the operator to retrieve "related accounts". The fund determines what criteria are used to relate or link accounts.

Dealer Account Search (BIN)

Entering the dealer account number only

If the Operator ID has dealer, dealer/branch, or dealer/representative security, the BIN number is all that is required to search for an account. However, if the Operator ID has tax ID security or no security, firm number and agent for firm will be required.

Searching within a specific fund or across all funds

- If searching within a fund is designated, the BIN number search will only search within the specified fund. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.

- If search across funds is selected, the BIN number search will search across all funds in that family of funds. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.

Fund Account Search

Choosing related accounts

- Account searches using fund and account number offer the option of retrieving "related" accounts. This allows a "household" of accounts to be retrieved. The fund has the option of defining what the "related" criteria will be. The related criteria search is based on the lead account number returned from the search. Some of the "related" account criteria DST offers are: tax ID number/SSN, rights of accumulation (ROA) number, or a combination of ROA number and TIN/SSN.

- If "related accounts" is NOT selected, only the shareowner-master for the fund account indicated within the designated fund will be displayed.
- If "related accounts" is selected, Vision will return search results based on all accounts that have the same related selection criteria across all funds in that family of funds. Related selection criteria in a fund account search will be based on the lead fund account number entered for the search. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.

Shareowner Name Search

Entering the last name, first name, and middle initial

Vision will allow the following search combinations:

- last name only
- last name and first name
- last name, first name, and middle initial.

A minimum of two characters is required for the last name. The last name and first name do not have to be complete; Vision will pass the host the portion of the name entered.

Designating a state

- The ability to designate a state to further narrow the search criteria is optional.

Searching within a specific fund or across all funds

- If "search within a fund" is designated, Vision will only search by shareowner search within the specified fund. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.
- If "search across funds" is selected, Vision will search by shareowner across all funds in that family of funds. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.

Tax ID Number Search

Searching within a specific fund or across all funds

- If "search within a fund" is designated, Vision will only search by tax ID number within the specified fund. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.
- If "search across funds" is selected, Vision will search by tax ID number across all funds in that family of funds. The search results will be displayed in

fund account order so the operator can click a specific account to get to the shareowner-master.

Representative/Advisor Summary

Entry fields displayed based on the level of operator security

- If there is dealer number security on an Operator ID, and there is only one dealer number on the security file, then only the representative number needs to be entered. If there are multiple dealer numbers on the dealer file, a list box will be provided, a dealer number must be designated, and a representative number must be entered.

  Note: An Operator ID may have a single dealer number or multiple dealer numbers.

- If there is dealer/branch number security on an Operator ID, and there is only one dealer/branch number combination on the security file, then only the representative number will need to be entered. If there are multiple dealer/branch number combinations on the security file, a list box will be provided, a dealer/branch number must be designated and a representative number must be entered.

  Note: An Operator ID may have a single dealer/branch number combination or multiple dealer/branch number combinations.

- If there is dealer/representative number security on an ID and there is only one dealer/representative combination in the security file, then no representative number will need to be entered. Vision will know by what representative number to search. If there are multiple dealer/representative number combinations on the security file, then a list box will be provided and a dealer/representative number will need to be designated. Vision will search based on that dealer/representative number.

  Note: An Operator ID may have a single dealer/rep number combination or multiple dealer/rep number combinations.

- If there is tax ID number security on an Operator ID, then the Representative/Advisor Search link on the menu will not be displayed.

- If there is no security on an Operator ID, then the dealer number and representative number will need to be entered. Dealer number, dealer/branch number, or dealer rep number cannot be pre-filled since there is no security file.

Retrieving representative summary information

An account summary will be displayed in fund number order, which include the following:

- number of accounts within each fund
- number of shares within each fund

- balance within each fund
- percent of assets for each fund
- totals across all funds within that family of funds

Representative account summary will always be across funds, the operator will not be able to pull a summary with one specific fund.

Representative/Advisor Number Account Search

Searching criteria displayed based on the level of operator security

- If there is dealer number security on an Operator ID, and there is only one dealer number on the security file, then only the representative number needs to be entered. If there are multiple dealer numbers on the dealer file, a list box will be provided, a dealer number must be designated and a representative number must be entered.

  Note: An Operator ID may have a single dealer number or multiple dealer numbers.

- If there is dealer/branch number security on an Operator ID, and there is only one dealer/branch number combination on the security file, then only the representative number will need to be entered. If there are multiple dealer/branch number combinations on the security file, a list box will be provided, a dealer/branch number must be designated and a representative number must be entered.

  Note: An Operator ID may have a single dealer/branch number combination or multiple dealer/branch number combinations.

- If there is dealer/representative number security on an ID and there is only one dealer/representative combination in the security file, then no representative number will need to be entered. If there are multiple dealer/representative number combinations on the security file, a list box will be provided and a dealer/representative number must be designated. Vision will search based on that dealer/representative number.

  Note: An Operator ID may have a single dealer/rep number combination or multiple dealer/rep number combinations.

- If there is tax ID number security on an Operator ID, then the Representative/Advisor Search link on the menu will not be displayed.

- If there is no security on an Operator ID, then the dealer number and representative number will need to be entered. Dealer number, dealer/branch number, and dealer rep number cannot be pre-filled since there is no security file.

Sorting account list

A detail account listing in the Rep/Advisor Search will be displayed in one of four sort sequences designated by the operator:

- Tax ID number and zip code
- ROA number and zip code
- Fund and account number
- Alphabetical by alpha code

The default will be tax ID number and zip code. The sort sequences are optional. The external fund client may choose to use some or all of the available sort sequences. The operator may click a specific account to get to the shareowner-master.

Searching within a specific fund or across all funds

- If search within a fund is designated, the representative number search will only search within the specified fund. A detail listing will be displayed in one of the four sort sequences designated by the operator. The operator can click a specific account to get to the shareowner-master.
- If search across funds is selected, the representative number search will search across all funds in that family of funds. The detail listing will be displayed in one of the four sort sequences designated by the operator. The operator can click a specific account to get to the shareowner-master.

Chapter 5:

Major Function Descriptions

Account Maintenance History

This function allows the operator to view non-financial changes made to an account. Maintenance history includes changes such as street address and representative number, and both the previous and current values are displayed.

Alternative Addresses for Duplicate Statements and Distributions

This function allows the operator to view the alternative address, if available, to which the fund sends duplicate statements and/or distribution checks.

Average Cost Information

Displays offer average cost and cost basis information for funds that offer this information.

Automatic Dividend Reinvest to Another Account

When a shareowner chooses to systematically reinvest the distributions from one fund/account in a different fund/account, there are related instructions under the account options. This facility enables the operator to view all details associated with this process.

Broker/Dealer Information

Vision provides a consolidated view of account information at the dealer or dealer branch level. Information such as total assets per fund, total number of accounts for the management company, total open and closed orders, total accounts per NSCC Networking matrix level will be displayed. When this facility is secured at the dealer level, it provides the broker/dealer with information on any branch under the dealer simply by entering the appropriate dealer/branch number.

Certificate Information

If physical shares are issued to the shareowner, or once issued shares are returned to the fund, this function is used to display and confirm the status of each certificate.

Change Password

The client password function allows Vision operators to change passwords at their discretion, and to reset passwords upon expiration.

Contingent Deferred Sales Charge Hypothetical Information

When a CDSC fund is viewed through Vision, the operator has the option of calculating hypothetical redemptions, either full or partial, through this function. The calculations are based on the most recent Net Asset Value (NAV).

Dealer Account Number Search (BIN)

This function allows the operator to retrieve accounts by entering the broker/dealers account number, commonly known as the broker identification number (BIN). The operator may retrieve accounts within a particular fund or · across funds within a fund family.

Fiduciary/Beneficiary/Contribution Information

This facility allows the operator to view all supporting fiduciary and contribution information on a qualified account. Information such as designated beneficiaries, year-to-date contributions, inception-to-date contributions, and taxable withdrawals, is supported through this function.

Fund Account Number Search

This function allows the operator to retrieve an account based on the fund's internal account number. The operator may also select "related accounts" to retrieve other accounts linked by a common criterion determined by the fund.

Fund Distribution Information

This function provides specific information about the distributions (dividends and capital gains) of the fund selected by the operator. Information such as record date, payable date, reinvestment date and the all corresponding share prices and rates is provided.

Fund List

This function is used to return the appropriate information for each individual mutual fund in the management company. It includes information such as the most recent NAV, the NAV date, CUSIP, fund code, fund name, NASDAQ symbol and whether the fund has associated (CDSC) deferred sales charges.

General Fund Information

This function provides all pertinent information about each mutual fund. In additional to pricing, yield, total return information, breakpoint schedules and sales charge-dealer concessions are also available.

Management Company Information

Once the operator has selected a management company from the management company list, all information displayed is specific to that management company

(until the operator returns to the management company list). This function allows the management company to provide and display information such as:

- Management company name
- Marketing phone number (optional)
- Support or back office phone number (optional)
- E-mail address—for all correspondence initiated through Vision (optional)
- Security level for the specific operator ID—dealer, branch, representative, tax ID, or all.

Management Company Listing

This function allows DST to identify what management company(s) to display based on the authorized management companies linked to the operator ID. In addition, this function allows DST to identify the appropriate record-keeping system to direct transaction requests.

Name Search

This function allows the operator to retrieve a shareowner account based on the name of the shareowner. This function also allows retrieval within a specific fund, across the management company, or within a specific state of residence.

Order Information

This facility allows the operator to view trade status and corresponding information, before and after settlement. In addition, the operator can enter the NSCC control number or the fund's order number to retrieve the trade. Information such as trade date, trade amount, number of shares, NAV, and confirm date will be displayed.

Pending Trades

When an account has transactions that have not settled, basic information such as trade date, shares, net and gross dollars may still be viewed through this facility.

Pre-Authorized, Automated Purchases and Redemptions

The Vision operator may view all details associated with the automated purchase and withdrawal of shares, usually on a monthly basis, through the ACH network. The dates and amounts of the transactions, as well as the bank information, is available through this facility.

Representative/Advisor Number Account Search

This function allows the operator to retrieve a list of accounts based on the representative number. The operator may retrieve accounts within a particular fund or across funds within a fund family. The operator may also select from four options that determine the sort order of the account list if multiple accounts are returned.

Representative/Advisor Number Account Summary

The summary function allows the operator to view a summary of representative level assets in each fund within the management company. The summary provides information regarding the number of accounts, number of shares, and dollar values for the representative/advisor. The accounts used in the summary are based on a representative number designated on each account.

Rights of Accumulation

In the load fund environment, a shareowner may sign a letter of intent to invest a certain dollar amount over a specified period of time in order to obtain a reduced sales charge on the initial investments. In addition, several accounts may be linked for purposes of qualifying for rights of accumulation. The rights of accumulation number, related accounts, and ROA amounts are displayed through this function.

Shareowner Account History

This function allows the operator to view the transaction history of each account. Information such as transaction type, transaction date, amount of transaction, and total shares is provided.

Shareowner Account Information

The Vision operator, by selecting one of several account search options, will ultimately arrive at a main account information window (shareowner master). All information about a shareowner account is either displayed here or is accessible from this window. Complete account registration, account balance, number of shares, net asset value (NAV), all account options such as bank information, average cost, and systematic exchanges, are available through this facility.

Transaction histories and contingent deferred sales charge (CDSC) information is only available through this window.

Shareowner Bank Information

In several functions within Vision, bank account information is viewable by the operator. This function, which is essentially a subset of other functions, maintains the detail necessary to provide the bank information on all of the windows where that information is required.

Systematic Exchange

When a shareowner has established automated instructions for moving money between accounts, this function allows the operator to view those instructions. Such things as amounts, transaction schedules, fiduciary information, CDSC information, and both the to and from account detail are provided through this function.

Tax ID/Social Security Number Search

This function allows the operator to retrieve accounts by entering the tax ID or social security number of the desired account(s). The operator may retrieve accounts within a particular fund or across funds within a fund family.

Year End and Tax Reporting Information

This facility allows the operator to view information pertaining to fiduciary and non-fiduciary tax reporting. Information such as the status of the various IRS forms that have been distributed, distribution information, IRS withholding information, and foreign withholding are all included in this function. In addition, this facility offers both current and previous tax year information.

Chapter 6:

Message Definitions

The following chapter defines each function and feature available in Vision.
Data field descriptions, requirements, and options are outlined in this chapter.

Key Descriptions

The following table defines key fields and terms outlined in this chapter.

Field Name/Term	Description
Transaction Fixed Request Data	Fixed length request data.
Transaction Fixed Response Data	Fixed length response data.
Transaction Variable Repeatable Response Data	Variable length response data, repeatable based on occurrences.
Field Name	Indicates the name of the field.
Field Type	Indicates whether the field is alpha, numeric, or character format. All data is in EBCDIC or ASCII. ALPHA -Values are A - Z, a - z. Values are left justified and the padding is spaces. EBCDIC NUM – Values are 0-9 in Zone Decimal Format and padded with zeros. All decimal points are implied. These values are right justified. Example: The positive account balance (13.2) value of $1,289.23 is sent in hexadecimal as 'F0F0F0F0F0F0F0F0F0F1F2F8F9F2F3' or 'F0F0F0F0F0F0F0F0F0F1F2F8F9F2C3'. If the value is negative, it is sent as 'F0F0F0F0F0F0F0F0F0F0FFF8F9F2D3'. CHAR -Values are A - Z, a- z, 0 - 9,special characters. Values are left justified and the padding is spaces.
M	Indicates the field is mandatory. Mandatory is defined as required valid data. (Blank indicates mandatory or option has not been determined yet.).

Field Name/Term	Description
O	Indicates the field is optional. Optional is defined as data that is not required. (Blank indicates mandatory or option has not been determined yet.) If the optional field will be supported, valid data must be entered. If the optional field will not be supported, *low values* or *spaces* will be used to indicate *not available*.
Values	Indicates the available field values.
Low Values	Hexadecimal '00' to be sent for numeric values only.
Spaces	Spaces to be sent for character text values only.
Description	Provides a brief description of the field.

Error Processing

Included at the end of each message definition is a table of error codes and corresponding error messages. By using these standard error codes, messages will be consistent for the Vision product between all fund companies. These error codes are standard and therefore generic. It is recommended that fund companies keep a log of the errors that occur on their systems, including specific error details to be used for problem research. When an error occurs on a fund companies system, the following processing should occur:

- The Return Code field in the header should be set to 0010.

- The Error Code field in the header should be set to the appropriate error code as detailed at the end of each message definition.

Vision Header

Required

The Vision header record is sent at the beginning of the Request data stream and will be returned at the beginning of the Response data stream. For example, with Account History, the Vision Header + Account History Request will be sent to the fund company. On the return from the fund company, the Vision Header + Account History Response will be returned. When the fund company returns the header information the following fields need to be updated:

- Packet Length
- Data Length
- Return Code
- Error Code (only if error occurs)
- Error Data (optional)

Columns	Field Name	Field Type	M/O	Values	D scription
1-4	Project ID	Char 4	M		Project identifier used to identify the layout. Assigned by DST.
5-7	Header Version	Num 3		Send spaces or null values.	Version of Header. For future use.
8-17	Packet Length	Num 10	M		Total length of data stream including the header
18-20	Data Version	Num 3		Send spaces or null values.	Version of the Data. For future use.
21-30	Data Length	Num 10	M		Length of data area, not including header (0 if no data).
31-47	Transaction ID	Char 17	M		Transaction identifier. For example, ACCTHIST@VISION. This format is *not* required. If an alternate transaction ID format is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.
48-57	Source System ID	Char 10		Send spaces	Indicates the source of the message. This value is used for information purposes. DST will assign these values to the message originators. For future use.
58-67	Source Tag	Num 10	M	Operator defined	This field can be used by the source application to attach an "identification" tag to individual transactions. This value will be returned in the response header.
68-77	Operator ID	Char 10	M	Vision or External Fund ID	The Operator ID (Vision) used to log on.
78-85	Password	Char 8	M	Send spaces.	
86-89	Return Code	Num 4	M	0000-Normal 0010-Error	Return Code.

Columns	Field Name	Field Type	M/O	Values	D scription
90-97	Error Code	Char 8	O		Error Code from the target system. This could be used as a reference if the Vision operator should call the fund.
98-337	Filler	Char 240		Send spaces.	For future use.

Account Fiduciary Information

(Example on page 146)

Required

This facility allows the operator to view all supporting fiduciary and contribution information on a qualified account. Information such as designated beneficiaries, year-to-date contributions, inception-to-date contributions, and taxable withdrawals, is supported through this function.

Transaction ID: FIDUINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Birth Date	Char 10	O	MM/DD/ YYYY	Birth date of the shareowner.
11	Marital Status	Alpha 1	O	M=Married S=Single	Marital Status of shareowner.

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Columns	Field Name	Field Type	M/O	Values	Description
12-14	Plan Type	Num 3	M	1-99	Identifies the account type: 1=Keogh 2=Benefit 3=IRA 4=Spousal IRA 5=Deferred 6=SEP IRA 7=Deferred 403B 8=401K 9=Simple IRA 10=Conversion ROTH 11=ROTH IRA 12=Educational IRA 98=Money Purchase Pension Plan 99=Profit Share Retirement Plan
15	Classification Code	Num 1	M	1=Control Account 2=Employer Account 3=Own Employee 4=Employee Account	Identifies who will be making the contributions for the account.
16-30	Current YTD Employer	Num 15	M	13.2	Current year-to-date contributions by the employer.
31-45	Current YTD Employee	Num 15	M	13.2	Current year-to-date contributions by the employee.
46-60	Prior YTD Employer	Num 15	M	13.2	Prior year-to-date contributions by the employer.
61-75	Prior YTD Employee	Num 15	M	13.2	Prior year-to-date contributions by the employee.

C lumns	Fi ld Name	Field Type	M/O	Valu s	D scripti n
76-92	ITD Contribution Employer	Num 17	M	15.2	Inception-to-date contributions by the employer.
93-109	ITD Contribution Employee	Num 17	M	15.2	Inception-to-date contributions by the employee.
110-124	YTD Dividends	Num 15	M	13.2	Year-to-date dividends earned for the account.
125-139	YTD Cap Gains	Num 15	M	13.2	Year-to-date capital gains earned for the account.
140-156	ITD Dividends	Num 17	M	15.2	Inception-to-date dividends earned for the account.
157-173	ITD Cap Gains	Num 17	M	15.2	Inception-to-date capital gains earned for the account.
174-188	YTD Non-Tax Withdrawals	Num 15	M	13.2	Year-to-date non-taxable withdrawals from the account.
189-203	YTD Taxable Withdrawals	Num 15	M	13.2	Year-to-date taxable withdrawals from the account.
204-218	YTD Withholdings	Num 15	M	13.2	Year-to-date withholdings on the account.
219-235	ITD Non-Tax Withdrawals	Num 17	M	15.2	Inception-to-date non-taxable withdrawals from the account.
236-252	ITD Taxable Withdrawals	Num 17	M	15.2	Inception-to-date taxable withdrawals from the account.
253-269	ITD Withholdings	Num 17	M	15.2	Inception-to-date withholdings on the account.
270-304	Primary Name 1	Char 35	M		First line of the primary beneficiary.
305-339	Primary Name 2	Char 35	M		Address of the primary beneficiary.
340-374	Primary Name 3	Char 35	M		City, state, and zip code of the primary beneficiary.
375-389	Primary Relationship	Char 15	M		Relationship of the primary beneficiary to the shareowner.
390-399	Primary Birth Date	Char 10	O	MM/DD/ YYYY	Primary beneficiary birth date.
400-409	Primary Designation Date	Char 10	O	MM/DD/ YYYY	Date the primary beneficiary was designated.

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Columns	Field Name	Field Type	M/O	Values	Descripti n
410-418	Primary Tax ID Number	Num 9	M		Tax ID number for the primary beneficiary.
419-453	Secondary Name 1	Char 35	O		First line of the secondary beneficiary.
454-488	Secondary Name 2	Char 35	O		Second line of the secondary beneficiary.
489-523	Secondary Name 3	Char 35	O		Third line of the secondary beneficiary.
524-538	Secondary Relationship	Char 15	O		Relationship of the secondary beneficiary to the shareowner.
539-548	Secondary Birth date	Char 10	O	MM/DD/ YYYY	Secondary beneficiary birth date.
549-558	Secondary Designation Date	Char 10	O	MM/DD/ YYYY	Date the secondary beneficiary was designated.
559-567	Secondary Tax ID Number	Num 9	O		Tax ID number for the secondary beneficiary.
568-617	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTF0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACTF0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTF0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.

Error C de	Err r Message	D scription
ACTF0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account History

(Example on page 149)

Required

This function allows the operator to view the transaction history of each account. Information such as transaction type, transaction date, amount of transaction, and total shares is provided.

Transaction ID: ACCTHIST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
34-58	Index	Char 25	M		Index to request additional accounts when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-25	Index	Char 25	M		If non-spaces, contains index to request next group of accounts.
26-75	Filler	Char 50		Send spaces.	For future use.

Columns	Field Nam	Field Type	M/O	Values	Description
76-78	Occurrences	Num 3	M	000-178	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Key Suffix	Num 7	O		Transaction sequence number in the history.
8-13	Transaction Identifier	Char 6	O		Indicates the type of transaction. Formatted as xxx/xxx (the '/' is hard coded after the third character).
14-28	Shares	Num 15	M	11.4	Number of shares involved in the transaction.
29-43	Gross Amount	Num 15	M	13.2	Dollar amount of the transaction.
44-58	Running Balance	Num 15	M	11.4	Cumulative share balance of account.
59-68	Confirmation Date	Char 10	M	MM/DD/YYYY	Date transaction was processed.
69-78	Trade Date	Char 10	M	MM/DD/YYYY	Date transaction was priced.
79-87	Price	Num 9	M	5.4	Price used for the transaction.
88-94	Batch Number	Num 7	O		Transaction processing group number.
95	Pre/Post Noon	Alpha 1	O	B=Before Noon A=After Noon	Determines if the transaction occurred before noon or after noon.
96-97	Discount Category	Char 2	O		Code indicating the price break a shareholder will receive on new shares purchased.
98	Certificate Issue Code	Alpha 1	O	Y/N	Indicates certificate was issued on a purchase transaction.
99-128	Transaction Description	Char 30	M		The alpha description of the transaction.

Columns	Fi Id Name	Field Type	M/O	Values	Description
129	Balance Indicator	Alpha 1	O	A=Add to bal S=Sub from bal N=No change	Indicates how this trade affected the share balance.
130-179	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACTH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACTH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Information

(Example on page 151)

Required

By selecting one of several account search options, the Vision operator will arrive at a main account information window. All information about a shareowner account is either displayed here or is accessible through this window.

Transaction ID: ACCTINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

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Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-9	Tax ID Number	Num 9	M		Displays the shareholders tax identification number. This number is either a Social Security Number or an Employer Identification Number.
10	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the Tax ID number and the certification status of the account. Does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
11-20	Dealer Number	Char 10	M		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.

Columns	Field Name	Field Typ	M/O	Values	Description
21-30	Branch Number	Char 10	M		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
31	Fiduciary Account	Alpha 1	M	Y/N	Indicates whether an account is fiduciary. Displays under Account Options as Fiduciary Account hyperlink and is required to send Account Fiduciary Information (FIDUINFO).
32	Timer Flag	Alpha 1	O	Y/N	Indicates whether an account is set to exchange to another fund at a specific interval. Displays under Account Options as Market Timer.
33	Audio Response Flag	Alpha 1	M	Y/N	Indicates whether an account has the Voice privilege. Displays under Account Options as Audio Response.
34	ACH Flag	Alpha 1	M	Y/N	Indicates whether an account has the ACH privilege. Displays under Account Options as "ACH Privileges." Refer to the "Bank Instructions" hyperlink to view banking information (BANKINST).
35	NAV Code	Alpha 1	O	Y/N	Indicates whether the account receives the NAV price when purchasing shares. Displays under Account Options as NAV Pricing.
36-45	NAV As-Of-Date	Char 10	O	MM/DD/ YYYY	Indicates the price date used in the NAV field.
46	Escheatment Flag	Alpha 1	O	Y/N	Indicates the account was reported in an escheatment cycle. Displays under Account Options as Escheatment.
47	Reinvest to Fund	Alpha 1	M	Y/N	Indicates if the account's earned distributions will be reinvested in another fund. Displays under Account Options as Dividend Reinvestment hyperlink and is

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Columns	Field Name	Field Type	M/O	Values	Description
					required to send Dividend Reinvestment Information (DIVMOVE).
48	Dealer Control Level Code	Num 1	M	0=Non-Netwkd 1=Bkr Margin IRA 2=Cust Name Bkr 3= Brokerage Bkr 4= Brokerage Fund	Indicates the level of dealer control. NSCC matrix level.
49	Filler	Char 1		Send spaces.	For future use.
50-58	Rights of Accumulation Number	Num 9	O		Accounts where commissions have been paid on less than 100% of the total valuation of the group. Displays under Account Options as Rights of Accumulation (ROA) hyperlink and is required to send Rights of Accumulation (ROA INFO).
59-67	LOI Number (Letter Of Intent)	Num 9	O		Links accounts that signed a contractual agreement to purchase a certain amount within 13 months to receive a price break.
68	Plan Status Code	Alpha 1	O	O=Open C=Closed	Indicates if the account is open or closed.
69	Expedited Exchange	Alpha 1	O	Y/N	Indicates if the shareowner is allowed to perform telephone exchanges to another fund. Displays under Account Options as "Telephone Exchange".
70	Penalty Withholding	Alpha 1	O	Y/N	Indicates if the account has withholding taken. Displays under Account Options as "Penalty Withholding".
71	Cap Gains	Alpha 1	M	R/C	Indicates if the capital gains are

Columns	Field Name	Field Type	M/O	Values	D scripti n
					reinvested or paid in cash..
72	Dividend 1	Alpha 1	M	R/C	Indicates if the dividends are reinvested or mailed by check.
73	Checkwriting Account	Alpha 1	M	Y/N	Indicates if the account has check-writing privileges. Displays under Account Options as "Checkwriting".
74	Expedited Account	Alpha 1	O	Y/N	Indicates if the shareowner is allowed to telephone wire order instructions to a pre-established bank account. Displays under Account Options as "Bank Instructions" hyperlink and is required to send bank instruction information (BANKINST).
75	Issue Code	Alpha 1	O	Y/N	Indicates if the account systematically issues a certificate after every transaction. Currently not displayed.
76	Stop Transfer Code	Alpha 1	O	Y/N	Indicates if it is prohibited to transfer, exchange or redeem the account. Displays under Account Options as" Stop Transfer".
77	Dividend Mail	Alpha 1	M	Y/N	Indicates if the account mails the dividend check to an address other than the AOR. Displays under Account Options as "Additional Mail" hyperlink and is required to send alternative addresses for statements and distributions (ADDLMAIL).
78	Stop mail	Alpha 1	O	Y/N	Indicates the account is suppressing year end tax forms. Displays under Account Options as "Stop Mail".
79-88	Date Established	Char 10	M	MM/DD/ YYYY	Date the account was initially opened.
89-103	Total Issued Shares	Num 15	M	11.4	Amount of shares in certificate form.
104-118	Total Unissued Shares	Num 15	M	11.4	Amount of shares available for redemption.

Columns	Field Name	Field Type	M/O	Values	Description
119-133	Account Value	Num 15	M	13.2	Dollar value of the account. (NAV x total shares in the account).
134-148	Escrow Shares	Num 15	M	11.4	Amount of shares held in escrow.
149-163	Daily Dividend Accrual	Num 15	M	13.2	Amount of dividend earned since the last dividend was calculated.
164-173	Filler	Char 10		Send spaces.	For future use.
174-208	Registration Name 1	Char 35	M		First line of shareowner address.
209-243	Registration Name 2	Char 35	M		Second line of shareowner address.
244-278	Registration Name 3	Char 35	M		Third line of the shareowner address.
279-313	Registration Name 4	Char 35	M		Fourth line of shareowner address.
314-348	Registration Name 5	Char 35	M		Fifth line of shareowner address.
349-383	Registration Name 6	Char 35	M		Sixth line of shareowner address.
384-418	Not Used	Char 35		Send spaces	Seventh line of shareowner address. Currently not displayed.
419-428	Representative Number	Char 10	M		Number of the representative on the account. This field is mandatory if the Operator ID has representative security; otherwise, send spaces.
429-458	Representative Name	Char 30	O		Name of the representative on the account.
459-493	Dealer Name	Char 35	M		Dealer name.
494-503	Last Maint Date	Char 10	O	MM/DD/ YYYY	Date last maintenance was completed. If populated, this field determines whether or not the "Account Maintenance History" hyperlink is displayed (MAINTHST).
504	Blue Sky Exempt	Alpha 1	O	Y/N	Indicates if the account is exempt from Blue Sky.

C lumns	Field Name	Field Type	M/O	Values	Description
					Currently not displayed.
505	Debit Card	Alpha 1	O	Y/N	Indicates if the account has debit card privileges. Displays under Account Options as "Debit Card".
506-514	NAV	Num 9	M	5.4	Indicates the price per share of a mutual fund for the most recent close.
515	Correspondence Pending Code	Alpha 1	O	Y/N	Indicates if the account has correspondence pending. Displays under Account Options as "Correspondence Pending".
516	Stop Purchase	Alpha 1	O	Y/N	Indicates if the account is prohibited for subsequent purchases. Displays under Account Options as "Stop Purchase".
517	Check Redemption by Phone Code	Alpha 1	M	Y/N	Indicates if the shareowner is allowed perform telephone redemptions. Displays under Account Options as "Telephone Check Redemptions".
518	House Account Code	Alpha 1	O	Y/N	Indicates if the account is a dealer house account. Displays under Account Options as "House Account".
519-538	Firm Account Number	Char 20	O		External Dealer Account Number (BIN). Displays under Account Options as "Dealer Account".
539	Additional Mail	Alpha 1	M	Y/N	Indicates if the account has statements being mailed to additional addresses. Displays under Account Options as "Additional Mail" hyperlink and is required to send alternative address for statements and distributions (ADDLMAIL).
540	Filler	Char 1		Send spaces.	For future use.
541	Outstanding Check Code	Alpha 1	O	Y/N	Indicates if the account has outstanding checks.

Columns	Field Name	Field Typ	M/O	Values	Description
542	Sysexch Account Code	Alpha 1	M	Y/N	Indicates if the account is set up to systematically exchange to other fund(s). Displays under Account Options as "Systematic Exchange Plan" hyperlink and is required to send systematic exchange information (SYSEXCH).
543	Shareowner Language Code	Alpha 1	O	E=English F=French G=German J=Japanese P=Portugese S=Spanish	Indicates what language the shareowner speaks. Displays under Account Options as "Language".
544	Pay Dividend to Broker Code	Alpha 1	O	Y/N	Indicates dividend checks are mailed to the dealer. Displays under Account Options as "Cash Dividend to Broker".
545	State Withholding Taken Code	Alpha 1	O	Y/N	Indicates if the account has state withholding taken.
546-560	Filler	Char 15	O	Send spaces.	For future use.
561	Pending Trade Code	Alpha 1	M	Y/N	Indicates if the account has a pending trade. Displays under Account Options as "Pending Trade" hyperlink and is required to send pending transaction information (PENDTRAD).
562	Filler	Char 1	M	Send spaces.	For future use.
563	AvgCost Account Code	Alpha 1	M	Y/N	Indicates if the account participates in Average Cost. Displays under Account Options as "Average Cost" hyperlink and is required to send average cost information (AVGCOST).

C lumns	Field Name	Fi ld Type	M/O	Valu s	Descripti n
564	Agreement Type Redemption Code	Alpha 1	M	Y/N	Indicates if the account has a systematic redemption agreement. Displays under Account Options as "Systematic Agreement" hyperlink and is required to send systematic agreement information (SYSAGREE).
565	Agreement Type Purchase Code	Alpha 1	M	Y/N	Indicates if the account has a systematic purchase agreement. Displays under Account Options as "Systematic Agreement" hyperlink, and is required to send systematic agreement information (SYSAGREE).
566	Allow ACH Purchase Code	Alpha 1	M	Y/N	Indicates if the account allows ACH purchases and determines whether or not the "Purchase" hyperlink appears under Account Transactions.
567	Allow ACH Redemption Code	Alpha 1	M	Y/N	Indicates if the account allows ACH redemption and determines whether or not the "Redeem" hyperlink appears under Account Transactions.
568	Allow Check Redemption	Alpha 1	M	Y/N	Indicates if the account allows check redemption and determines whether or not the "Redeem" hyperlink appears under Account Transactions.
569	Allow Exchange from Code	Alpha 1	M	Y/N	Indicates if exchanges are allowed from the account and determines whether or not the "Exchange" hyperlink appears under Account Transactions.
570	Allow Exchange into Existing Code	Alpha 1	M	Y/N	Indicates if exchanges are allowed into existing accounts.
571	Allow Exchange into New Code	Alpha 1	M	Y/N	Indicates if exchanges are allowed into new accounts.
572	Redemption Fee Code	Alpha 1	M	Y/N	Indicates if a redemption fee is to be withheld.
573-588	Filler	Char 16		Send spaces.	For future use. .

C lumns	Field Nam	Field Type	M/O	Valu s	Description
589-604	Filler	Char 16		Send spaces.	For future use.
605	Business Day Code	Alpha 1	M	Y = Business Day N = Non Business Day	Indicates whether or not the current day is a business day. Used in determining the trade date for transaction processing. Does not display.
606	Allow Hypocalc Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the hypocalc link will be displayed (HYPOCALC).
607-656	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACTI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACTI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Maintenance History
(Example on page 157)

Optional

This function allows the operator to view non-financial changes made to an account. Changes are provided, with both the previous and current information displayed.

Transaction ID: MAINTHST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-200	Number of times the following variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Last Maint Date	Char 10	M	MM/DD YYYY	Date of last maintenance.
11-22	Batch Number	Char 12	O		Transaction processing group number.
23-52	Maintenance Field Name	Char 30	M		Field name that has been updated.
53-87	Previous Field Value	Char 35	M		Data that resided in the field before the update.

Columns	Field Name	Field Type	M/O	Values	Description
88-122	Current Field Value	Char 35	O		Data that currently resides in the field.
123-172	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTM0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACTM0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTM0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACTM0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Dealer Account Number

(Example on page159)

Required

This function allows the operator to retrieve accounts by entering the broker/dealer account number (BIN). This search will retrieve all accounts across the management company, or within a selected fund.

Transaction ID: DLRSRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Dealer Account Number (BIN)	Char 20	M		NSCC Broker Identification Number or External Dealer Account Number.
34-37	Firm Number	Num 4	O		NSCC participant ID (optional depending on security and management level options).
38-41	Agent for Firm	Char 4	O		Executing dealer (optional depending on security and management level options).
42	Search Across Funds	Alpha 1	M	A=All S=Selected	Code that indicates whether to search only the selected fund or all funds within a fund group.
43	Filler	Char 1		Send spaces.	For future use.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Maximum Number of Records Exceeded	Char 1	M	Y/N	Flag that indicates whether there are more records that have not been retrieved.
2-41	Index	Char 40	M		If non-spaces, contains index to request next group of accounts.
42-44	Occurrences	Num 3	M	000-180	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund	Num 15	M		Fund Code.

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Columns	Field Name	Field Type	M/O	Valu s	Description
	Code				
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
59-67	Tax ID Number	Num 9	M		Displays the shareholder's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
68	Tax ID Code	Num 1	M	0-9	0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
69-103	Registration Name1	Char 35	M		First line of shareowner registration.
104-138	Registration Name2	Char 35	M		Second line of shareowner registration.
139-155	Shares	Num 17	M	13.4	Share balance of the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
DLRS0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
DLRS0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
DLRS0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
DLRS0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Fund Account Number
(Example on page 161)

Required

This function allows an account to be retrieved based on the fund's account number. The operator may also select "related accounts" as an option to retrieve other accounts linked by a common criterion.

Transaction ID: ACCTSRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Typ	M/O	Valu s	Descripti n
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34	Retrieve Related Accounts	Alpha 1	M	Y/N	Indicates whether to search for related accounts.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Maximum Number of Records Exceeded	Char 1	M	Y/N	Indicates whether there are more records that have not been retrieved.
2-51	Filler	Char 50		Send spaces.	For future use.
52-54	Occurrences	Num 3	M	000-161	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund Code.
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Columns	Field Name	Field Type	M/O	Valu s	Description
59-67	Tax ID Number	Num 9	M		Displays the shareowner's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
68	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the Tax ID number and the certification status of the account. Currently does not display.

0=SSN or TIN Missing

1=SSN Non-Certified

2=SSN Certified

3=EIN Non-Certified

4=EIN Certified

5=TIN Applied for

6=SSN IRS Offender

7=EIN IRS Offender

8=SSN Acct Type Exempt

9=EIN Acct Type Exempt |
69-103	Registration Name1	Char 35	M		First line of shareowner registration.
104-138	Registration Name2	Char 35	M		Second line of shareowner registration.
139-155	Shares	Num 17	M	13.4	Share balance for the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTS0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error Message	Descripti n
ACTS0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTS0003 ·	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACTS0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Representative Number
(Example on page 162)

Optional

This function allows the operator to retrieve a listing of accounts within a fund or across the management company, based on the dealer/representative number of the shareowner accounts. The operator has four options that may be selected that determine the sort order of the account list if multiple accounts are returned.

Transaction ID: REPSRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Column	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Column	Field Name	Field Type	M/O	Valu s	Description
14	Search Type Code	Alpha 1	M	D=Dealer/ Rep Search R=Dealer/ Branch/Rep Search	Code that indicates what type of search it is.
15-24	Dealer Number	Char 10	M/O		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
25-34	Branch Number	Char 10	M/O		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
35-44	Representative Number	Char 10	M/O		Number of the representative on the account. This field is mandatory if the Operator ID has representative security; otherwise, send spaces.
45	Search Across Funds	Alpha 1	M	A=All S=Selected	Code that indicates whether to search only the selected fund or all funds within a fund group.
46	Sort Order	Alpha 1	M	T=Tax ID/ZIP C=Cum Disc/ZIP F=Fund/ Account A= Alphabetical by Alpha code	Code that indicates how the results of the search will be sorted.
47-107	Index	Char 61	O		Index to request additional accounts when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-61	Index	Char 61	M		If non-spaces, contains index to request next group of accounts.

Columns	Field Name	Field Typ	M/O	Values	Description
62-111	Filler	Char 50		Send spaces.	For future use.
112-114	Occurrences	Num 3	M	000-150	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund Code.
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
59-67	Tax ID Number	Num 9	M		Displays the shareholder's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
68	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the Tax ID number and the certification status of the account. Currently does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt

Columns	Field Nam	Field Type	M/O	Values	Description
					9=EIN Acct Type Exempt
69-103	Registration Name1	Char 35	M		First line of registration.
104-138	Registration Name2	Char 35	M		Second line of registration.
139-155	Shares	Num 17	M	13.4	Share balance of the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
RSCH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
RSCH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
RSCH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
RSCH0004	The Dealer Number specified is not correct. Please click the **Back** button on your browser to return to the previous page so that you can make the necessary correction.	Dealer number is not correct.
RSCH0005	The Representative (Rep) Number specified is not correct. Please click the **Back** button on your browser to return to the previous page so that you can make the necessary changes.	Representative number is not correct.

Error Cod	Error Messag	Descripti n
RSCH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Shareowner Name
(Example on page164)

Optional

This function allows the operator to retrieve a shareowner account based on the name of the shareowner. This function also allows retrieval within a specified fund or across the entire management company, and within a state of residence.

Transaction ID: NAMESRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Shareowner Last Name	Char 20	M		The shareowner's last name. A minimum of two characters is required.
34	Shareowner Middle Initial	Char 1	M		The shareowner's middle initial (optional field).
35-54	Shareowner First Name	Char 20	M		The shareowner's first name (optional field).
55-57	Resident State Country Code	Char 3	M		A two-character country code (plus one space) that indicates the state and country of residence of the shareowner. For example, Missouri would be "MO_." Optional field.

Columns	Field Nam	Field Type	M/O	Values	Descripti n
58	Search Across Funds	Alpha 1	M	A=All S=Selected	Code that indicates whether to search only the selected fund or all funds within a fund group.
59-83	Index	Char 25	M		Index to request additional funds when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-25	Index	Char 25	M		If non-spaces, contains index to request next group of funds.
26-75	Filler	Char 50		Send spaces.	For future use.
76-78	Occurrences	Num 3	M	000-157	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund code.
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
59-67	Tax ID Number	Num 9	M		Displays the shareowner's tax identification number. This number is either a Social Security Number or an Employer Identification Number.

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Columns	Field Name	Field Type	M/O	Values	Description
68	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the Tax ID number and the certification status of the account. Currently does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
69-103	Registration Name1	Char 35	M		First line of shareowner registration.
104-138	Registration Name2	Char 35	M		Second line of shareowner registration.
139-155	Shares	Num 17	M	13.4	Share balance of the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
NAMS0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error Message	Description
NAMS0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
NAMS0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
NAMS0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Tax ID Number
(Example on page 165)

Required

This function allows the operator to retrieve accounts by entering the tax identification number (TIN) or social security number of the desired accounts. The operator may search within a fund, or across the management company.

Transaction ID: TINSRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

C lumns	Field Nam	Field Type	M/O	Values	Description
14-22	Tax ID Number	Num 9	M		Displays the shareowner's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
23	Search Across Funds	Alpha 1	M	A=All S=Selected	Code that indicates whether to search only the selected fund or all funds within a fund group.
24	Filler	Char 1		Send spaces.	For future use.
25-49	Index	Char 25	M		Index to request additional accounts when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Maximum Number of records exceeded	Char 1	M		Flag that indicates whether more records exist that have not been retrieved.
2-26	Index	Char 25	M		If non-spaces, contains index to request next group of accounts.
27-76	Filler	Char 50		Send spaces.	For future use.
77-79	Occurrences	Num 3	M	000-157	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund Code.
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

C lumns	Field Name	Field Type	M/O	Values	Description
59-67	Tax ID Number	Num 9	M		Displays the shareholder's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
68	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the tax ID number and the certification status of the account. Currently does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
69-103	Registration Name1	Char 35	M		First line of shareowner registration.
104-138	Registration Name2	Char 35	M		Second line of shareowner registration.
139-155	Shares	Num 17	M	13.4	Share balance of the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
TINS0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Err r Code	Error Message	Description
TINS0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
TINS0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized. ··
TINS0007	The tax ID entered was not found or is invalid. Please click the **Back** button on your browser to return to the previous page so that you can make the necessary correction.	Tax ID invalid.
TINS0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Year End Information
(Example on page 167)

Optional

This function allows the operator to view information pertaining to fiduciary and non-fiduciary tax reporting for the current and prior tax year.

Transaction ID: YENDINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Columns	Field Name	Field Type	M/O	Values	Description
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
34-37	Tax Processing Year Date	Num 4	M	YYYY	Indicates the tax information for the year.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-15	Income Dividends	Num 15	M	13.2	Income dividends earned for the year.
16-30	Long Term Cap Gains	Num 15	M	13.2	Amount of long-term capital gains paid per share for the year.
31-45	Short Term Cap Gains	Num 15	M	13.2	Amount of short-term capital gains paid per share for the year.
46-60	Cap Surplus	Num 15	M	13.2	Cap surplus earned for the year.
61-75	Fund Expense	Num 15	M	13.2	The amount charged to the shareowner to cover the expenses of the fund.
76-90	Foreign Withholding	Num 15	M	13.2	Total Non-Resident Alien (NRA) withholdings for foreign shareowners.
91-105	Dividend Withholding	Num 15	M	13.2	Dividend withholding withheld for the year.
106-120	Redemption Withholding	Num 15	M	13.2	Redemption withholding withheld for the year.
121-135	Foreign Tax Paid Amount	Num 15	M	13.2	Total foreign tax paid for the year.
136-150	Realloc Income Dividends	Num 15	M	13.2	Income dividends that have been reallocated due to fund error.
151-165	Realloc Long Term Cap Gains	Num 15	M	13.2	Long-term capital gains that have been reallocated due to fund error.
166-180	Realloc Short Term Cap Gains	Num 15	M	13.2	Short-term capital gains that have been reallocated due to fund error.
181-195	Realloc Cap Surplus	Num 15	M	13.2	Capital surplus that has been reallocated due to fund error.
196-210	Taxable Income	Num 15	M	13.2	Total taxable income dividends

C lumns	Fi ld Name	Field Type	M/O	Values	Description
	Dividends				for the year.
211-225	Non-Taxable Income Dividends	Num 15	M	13.2	Total non-taxable income dividends for the year.
226-240	Account Evaluation	Num 15	M	13.2	Total dollar value of the account on December 31 or if the current tax year is selected, this value represents the current value of the account based upon the most recent price available.
241-255	IRA-Contributions Tax Year	Num 15	M	13.2	Total IRA contributions for the year.
256-270	SEP Employee Contribution Tax year	Num 15	M	13.2	Total SEP Employee contributions for the year.
271-285	SEP Employer Contribution	Num 15	M	13.2	Total SEP Employer contributions for the year.
286-300	Rollover Contributions	Num 15	M	13.2	Total rollover contributions for the year.
301-315	Filler	Char 15		Send spaces.	Previously used to report 'Gross Distributions Amount'.
316-330	Filler	Char 15		Send spaces.	Previously used to report 'Non-Tax Distributions Amount'.
331-345	Premature Distributions	Num 15	M	13.2	Total premature distributions for the year.
346-360	Disability Distributions	Num 15	M	13.2	Total disability distributions for the year.
361-375	Death Distributions	Num 15	M	13.2	Total distributions due to death taken for the year.
376-390	Prohibited Distributions	Num 15	M	13.2	Total prohibited distributions for the year.
391-405	Normal Distributions	Num 15	M	13.2	Total normal distributions for the year.
406-420	Excess Distributions	Num 15	M	13.2	Total excess distributions for the year.
421	1099DIV Form Status Code	Num 1	M	0=Not Created 1=Produced	Indicates the status of the 1099DIV tax form.

Columns	Fi ld Name	Field Type	M/O	Values	Descripti n
				2=Correction Required	
				3=Zero Required	
				4=Correction Produced	
				5=Zero Produced	
422	1099INT Form Status Code	Num 1	M	0=Not Created	Indicates the status of the 1099INT tax form.
				1=Produced	
				2=Correction Required	
				3=Zero Required	
				4=Correction Produced	
				5=Zero Produced	
423	1042S Form Status Code	Num 1	M	0=Not Created	Indicates the status of the 1042S tax form.
				1=Produced	
				2=Correction Required	
				3=Zero Required	
				4=Correction Produced	
				5=Zero Produced	
424	5498 Form Status Code	Num 1	M	0=Not Created	Indicates the status of the 5498 tax form.
				1=Produced	
				2=Correction Required	
				3=Zero Required	

Columns	Field Name	Fi ld Type	M/O	Values	Description
				4=Correction Produced	
				5=Zero Produced	
425	Year End Reporting Type	Num 1	M	0=Frgn 1099div	Indicates what type of reporting is applicable to the account based on the address of record.
				1=Frgn 1042	
				2=Frgn Fiduc	
				3=Frgn IRA	
				4=Dom 1099 div	
				5=Dom Fiduc	
				6=Dom IRA	
				7=Dom 1042	
426-428	Foreign Tax Rate	Num 3	M	.3	U.S. tax rate to which a foreign broker is subject.
429-443	Taxable Year AVG Asset Value Amount	Num 15	M	13.2	Displays the Average Asset Value for the tax year.
444	1099DIV Tape Status Code	Num 1	M	0=Not Created	Indicates the status of the 1099DIV tax tape.
				1=Produced	
				2=Correction Required	
				3=Zero Required	
				4=Correction Produced	
				5=Zero Produced	

Columns	Field Nam	Field Type	M/O	Values	Descripti n
445	1099INT Tape Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1099INT tax tape.
446	1042S Tape Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1042S tax tape.
447	5498 Tape Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 5498 tax tape.
448-462	Non-Dealer Control Fund Expense Amount	Num 15	M	13.2	Total amount of fund expenses for non-dealer-controlled accounts.

Columns	Field Name	Field Type	M/O	Values	D scription
463-477	Non-Dealer Control Foreign Withholding Amount	Num 15	M	13.2	Total amount of foreign withholding for non-dealer-controlled accounts.
478-492	Non-Dealer Control Dividend Withholding Amount	Num 15	M	13.2	Total amount of dividend withholding for non-dealer-controlled accounts.
493	Dealer Control Code	Num 1	O	0=Non-Netwkd 1=Bkr Mrgin IRA 2=Cust Name Bkr 3=Brokerage Bkr 4=Brkerage Fund	Indicates the level of dealer control.
494-508	SEP Employee Contribution Current Year	Num 15	M	13.2	Total amount of SEP employee contributions for the current year.
509-523	IRA Contributions Current Year	Num 15	M	13.2	Total amount of IRA contributions for the current year.
524	1099B Form Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1099B tax form.
525	1099B Tape Status Code	Num 1	M	0=Not Created 1=Produced	Indicates the status of the 1099B tax tape.

Columns	Field Nam	Fi ld Type	M/O	Values	Descripti n
				2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	
526-540	Section 1250 Capital Gain Amount	Num 15	M	13.2	The amount of Section 1250 capital gains (gains from sales or exchanges of depreciable real property) that were paid to the mutual fund account for the tax year.
541-555	Reallocated LTCG 28 Percent Amount	Num 15		Send spaces or null values.	The amount of 28% long-term capital gains that was the result of the reallocation process for the mutual fund account for the tax year. Currently not used.
556-570	Reallocated Section 1250 Capital Gain Amount	Num 15	M	13.2	The amount of Section 1250 capital gains that was the result · of the reallocation process for the mutual fund account for the tax year.
571-585	Simple IRA Pre Distribution Amount	Num 15	M	13.2	The total amount of "taxable" distributions from a mutual fund account classified as a simple IRA for the tax year but is considered "premature". A distribution is "premature" when made to an individual who is less than 59½ years old from a mutual fund account that is less than two years old.
586-600	Educational IRA Distribution Amount	Num 15	M	13.2	The total amount of distributions from the mutual fund account that is a classified as an Educational IRA for the tax year.
601-615	Loan Default Distribution Amount	Num 15	M	13.2	The total amount of distributions as a result of a default on a loan from the fiduciary mutual fund account for the tax year.

Columns	Fi ld Name	Field Type	M/O	Values	Description
616-630	Pre Exempt Distribution Tax Amount	Num 15	M	13.2	The total "taxable" premature exempt applies to those shareowners under age 59½ who have elected to take life-expectancy withdrawals from their fiduciary accounts and consequently are not subject to the taxes normally imposed on a redemption made to an individual under age 59½.
631-645	Conversion Roth Contribution Amount	Num 15	M	13.2	The total amount of contributions that were rolled from another retirement type account into the mutual fund account that is classified as a conversion Roth IRA for the tax year.
646-660	SEP Employer Contribution Current Year Amount	Num 15	M	13.2	The amount of the SEP employer contributions in the current year that apply to the current tax year.
661-675	SEP Employer Salary Reduction Tax Year Amount`	Num 15	M	13.2	SEP (Self-Employed Pension Plan) employer salary reduction prior (tax) year amount. This is accumulated from the shareowner history file based on how the transaction codes/ suffixes are defined within the YE matrix.
676-690	SEP Employer Salary Reduction Current Year Amount	Num 15	M	13.2	SEP (Self Employed Pension Plan) employer salary reduction current year amount This is accumulated from the shareowner history file based on how the transaction codes/suffixes are defined within the YE matrix.
691-705	Filler	Char 15		Send spaces.	Previously used to report '5498 SEP Simple Amount' SEP employer contribution tax year amount + SEP employer contribution current year amount + SEP employer salary reduction tax year amount + SEP employer salary reduction

Columns	Field Name	Fi ld Type	M/O	Values	Description
					current year amount
706-720	Filler	Char 15		Send spaces.	Previously used to report '5498 IRA Amount' IRA contributions tax year amount + IRA contributions current year amount + SEP employee contribution tax year amount + SEP employee contribution current year amount.
721-735	IRA Recharacterization Contribution Amount	Num 15	M	13.2	The total amount of distributions from the Mutual Fund Account classified as a recharacterication of an IRA for the tax year. If a shareowner decides to cancel a conversion to an IRA (Roth or Traditional), he or she has until income tax filing time (including extensions) to "undo" it. The distribution amount reflects the amount that is redeemed from "converted to" IRA account.
736-750	IRA Recharacterization Distribution Amount	Num 15	M	13.2	The total distributions from the Mutual Fund Account classified as a recharacterication of an IRA for the tax year. If a shareowner decides to cancel a conversion to an IRA (Roth or Traditional), he or she has until income tax filing time (including extensions) to "undo" it. The distribution amount reflects the amount that is redeemed from "converted to" IRA account.

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Columns	Field Name	Field Type	M/O	Valu s	Descripti n
751-760	1099DIV Form Produced Date	Char 10	M	MM/DD/ YYYY	Date tax forms were produced. This date is used to help gauge when a shareholders can expect to receive their tax forms. This date is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
761-770	1099DIV Tape Produced Date	Char 10	M	MM/DD/ YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS tax tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.
771-780	1099INT Form Produced Date	Char 10	M	MM/DD/ YYYY	Date tax forms were produced. This date is used to help gauge when a shareholder can expect to receive his or her tax forms. It is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
781-790	1099INT Tape Produced Date	Char 10	M	MM/DD/ YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS tax tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.

Columns	Field Name	Fi ld Typ	M/O	Values	Descripti n
791-800	1042S Form Produced Date	Char 10	M	MM/DD/ YYYY	Date tax forms were produced. This date is used to help gauge when a shareholder can expect to receive his or her tax forms. It is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
801-810	1042S Tape Produced Date	Char 10	M	MM/DD/ YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS tax tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.
811-820	5498 Form Produced Date	Char 10	M	MM/DD/ YYYY	Date tax forms were produced. This date is used to help gauge when a shareholder can expect to receive his or her tax forms. It is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
821-830	5498 Tape Produced Date	Char 10	M	MM/DD/ YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS Tax Tape production and is helpful in identifying accounts that may have been affected by coding ·errors that affect the totals reported to the IRS.

Columns	Field Name	Field Type	M/O	Values	Description
831-840	1099B Form Produced Date	Char 10	M	MM/DD/ YYYY	Date tax forms were produced. This date is used to help gauge when a shareholder can expect to receive his or her tax forms. It is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
841-850	1099B Tape Produced Date	Char 10	M	MM/DD/ YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS tax tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.
851-900	Filler	Char 50		Send spaces.	For future use.
901-903	Occurrences	Num 3	M	000-100	Number of times the Variable Response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-12	Filler	Char 12		Send spaces.	For future use.
13	Corrected Form Status Code	Num 1	M	0=Needs Original 1=Original 2=Needs Corrected 3=Needs Zero Dlr 4=Corrected 5=Zero Dealer	A code used to indicate the current correction status of the form for this mutual fund account tax jurisdiction period ending qualified account level occurrence (1099R).

Columns	Field Nam	Field Type	M/O	Values	Description
14	Corrected Tape Status Code	Num 1	M	0=Needs Original 1=Original 2=Needs Corrected 3=Needs Zero Dlr 4=Corrected 5=Zero Dealer	A code used to indicate the current correction status of the tape for this mutual fund account tax jurisdiction period ending qualified account level occurrence (1099R).
15-27	Redemption Type Short Description	Char 13	O		Short literal that describes what type of redemption (1099R) is displayed.
28-29	Postal Code	Char 2	M		Two-digit abbreviation for the state in which the account was registered at the time of the 1099R redemption.
30-77	Filler	Char 48		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
YEND0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
YEND0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
YEND0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
YEND0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the

Error C de	Error Message	.	Description
			allotted time.

Alternative Addresses for Statements and Distributions

(Example on page 174)

Required

This function allows the operator to view the alternative mailing address(es) to which the fund sends duplicate statements and/or distributions to the shareowner.

Transaction ID: ADDLMAIL@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-100	Number of times the variable response repeats

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Last Maint Date	Char 10	O	MM/DD/YYYY	Date of Last maintenance.
11	Type of Address	Alpha 1	M	D= Dividend Mail	Indicates if the address is for dividend mail or additional mail.

C lumns	Field Name	Field Type	M/O	Values	Description
			'	A= Addl Mail	
12-46	Registration Name 1	Char 35	M		First line of the additional mail address.
47-81	Registration Name 2	Char 35	M		Second line of the additional mail address.
83-116	Registration Name 3	Char 35	M		Third line of the additional mail address.
117-151	Registration Name 4	Char 35	M		Fourth line of the additional mail address.
152-186	Registration Name 5	Char 35	M		Fifth line of the additional mail address.
187-221	Registration Name 6	Char 35	M		Sixth line of the additional mail address.
222-306	Filler	Char 85		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ADDM0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ADDM0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ADDM0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ADDM0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

                   November 22, 1999

Average Cost Information
(Example on page 175)

Optional

This function displays average cost and cost basis information for a shareowner account.

Transaction ID: AVGCOST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

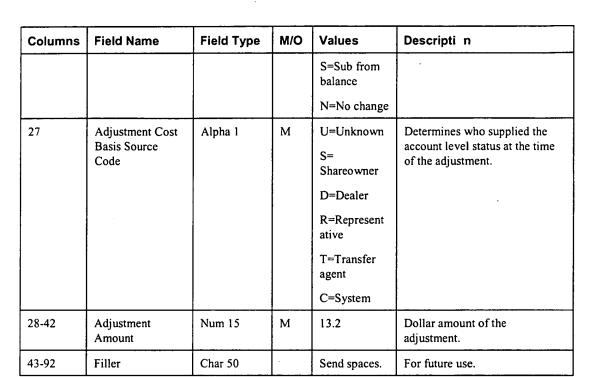| Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Last Maint Date	Char 10	O	MM/DD/YYYY	Date of last adjustment.
11	Initial Cost Basis Status	Alpha 1	M	P=Pending S=Shareowner D=Dealer R=Representative T=Transfer Agent C=System	Determines who supplied the account level status at the time of the Effective From Date.
13-26	Initial Cost Basis Amount	Num 15	M	13.2	Dollar amount of the shareholders investment for tax purposes.
27-41	Initial Cost Basis Shares	Num 15	M	11.4	Number of shares in the account at the time of the

Columns	Field Name	Field Type	M/O	Values	Description
					Effective From Date.
42	Current Cost Basis Status	Alpha 1	M	P=Pending S=Shareowner D=Dealer R=Representative T=Transfer Agent C=System O=Suspended	The current account level status.
43-52	Last Calc Date	Char 10	M	MM/DD/YYYY	Date the last cost basis calculation occurred.
53-67	Last Calc Shares	Num 15	M	11.4	Number of shares in the account at the time of the last cost basis calculation.
68-82	Last Calc Amount (Current Cost Basis Amount)	Num 15	M	13.2	Value of the account at the time of the last cost basis calculation.
83	Account Reporting Code	Alpha 1	O	Y/N	Determines if the shareholder will receive an average cost statement.
84-93	Effective From Date	Char 10	M	MM/DD/YYYY	Beginning date the account history is available on-line, and is the date average cost statements will be generated.
94-96	Occurrences	Num 3	M	000-500	Number of times the variable response repeats.
97-146	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Trade Date	Char 10	M	MM/DD/YYYY	Date adjustment occurred.
11-25	Shares	Num 15	M	11.4	Number of shares that were adjusted.
26	Balance Indicator	Alpha 1	O	A=Add to balance	The effect the adjustment had on the share balance.

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Columns	Field Name	Field Type	M/O	Values	Descripti n
				S=Sub from balance N=No change	
27	Adjustment Cost Basis Source Code	Alpha 1	M	U=Unknown S= Shareowner D=Dealer R=Represent ative T=Transfer agent C=System	Determines who supplied the account level status at the time of the adjustment.
28-42	Adjustment Amount	Num 15	M	13.2	Dollar amount of the adjustment.
43-92	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
AVGC0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
AVGC0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
AVGC0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
AVGC0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Bank Instruction Information

(**Example on page** Error! Bookmark not defined.)

Required

Within several functions of Vision, the operator can view bank account information displaying the following scenarios:

- Funds from a shareholder's bank account to be debited for the initial purchase of shares in a mutual fund.

- Dividends deposited directly into the shareholder's bank account.

- Funds from a shareholder's bank account to be deposited for the systematic purchase of shares in a mutual fund.

- Systematic redemptions deposited directly into the shareholder's bank account.

- Telephone redemptions deposited directly into the shareholder's bank account.

The bank information function is a subset of other functions, and maintains detailed information for windows that provide bank instruction information.

Transaction ID: BANKINST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-024	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

C lumns	Field Name	Field Type	M/O	Values	Description
1-9	Instruction ID	Num 9		Send spaces or null values.	Bank Instruction ID. For future use.
10	Bank Account Type	Alpha 1	M	C=Checking S=Savings	Type of Bank Account for this instruction.
11-25	Bank Account Amount	Num 15	O	13.2	Dollar amount of instruction.
26	Bank Account Amount Null	Alpha 1	M	Y/N	If Bank Account Amount is low values, populate null indicator with "Y".
27-41	Bank Account Rate	Num 15	O	5.10	Rate of bank instruction.
42	Bank Account Rate Null	Alpha 1	M	Y/N	If Bank Account Rate is low values, populate null indicator with "Y".
43-57	Bank Account Shares	Num 15	O	11.4	Share amount of bank instruction.
58	Bank Account Shares Null	Alpha 1	M	Y/N	If Bank Account Shares is low values, populate null indicator with "Y".
59-67	Bank Routing Number	Num 9	M		Displays the Federal Reserve's nine-digit routing identification number assigned to the shareholder's bank. The first four digits indicate the bank's Federal Reserve ID number; the second four digits indicate the ABA number; the last digit is the check digit.
68-87	Bank Account Number	Char 20	M		Displays the bank account number of the shareholder's bank. This account is the one to which funds are wired in the case of an expedited redemption or from which pre-authorized check payments are drawn in the case of a PAC.
88-122	Acct Registration 1	Char 35	M		First line of registration on the bank account.

Columns	Field Name	Field Type	M/O	Values	Description
123-157	Acct Registration 2	Char 35	M		Second line of registration on the bank account.
158-192	Bank Name	Char 35	M		Name of the shareholder's bank.
193-227	Bank Street	Char 35	M		Street address of the bank.
228-262	Bank City	Char 35	M		City where the bank is located.
263-265	Bank State Code	Char 3	M		A two-character country code (plus one space) that indicates the state and country where the bank is located. For example, Missouri would be "MO_."
266-274	Bank Zip Code	Num 9	M		Zip Code of the bank.
275-521	Filler	Char 247		Send spaces.	For future use.
522	Wire Redemption Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for wire redemptions.
523	Wire Redemption DFL Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be the default for wire redemptions.
524	Systematic ACH Redemption Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for systematic ACH redemptions.
525	Systematic ACH Purchase Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for systematic ACH purchases.
526	Systematic Draft Purchase Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for systematic draft purchases.
527	ACH Special Purchase Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for special ACH purchase via telephone.
528	ACH Special Purchase DFL Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be the default for special ACH purchases.
529	ACH Special Redemption Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for special ACH redemptions via telephone.

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Columns	Field Name	Field Type	M/O	Values	Description
530	ACH Special Redemptions DFL Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be the default for special ACH redemptions.
531	ACH Dividend Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for ACH dividends.
532-581	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
BNKI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
BNKI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
BNKI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
BNKI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Certificate Information
(Example on page 179)

Optional

This function allows the operator to view the status of certificates that have been issued to the shareowner, or returned to the fund.

Transaction ID: CERTINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-100	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Certificate Prefix	Char 3	O	Send spaces.	Alpha description that precedes the certificate number (proprietary to each fund).
4-11	Certificate Number	Num 8	M		Number that identifies the certificate.
12-26	Shares	Num 15	M	11.4	Number of shares involved in the transaction.
27-36	Issue Date	Char 10	M	MM/DD/YYYY	Date certificate was issued.
37-46	Stop Date	Char 10	M	MM/DD/YYYY	Date certificate was stopped.
47-56	Cancel Date	Char 10	M	MM/DD/YYYY	Date certificate was canceled.
57-63	Replacement #	Num 7	M		Determines if the stopped certificate was replaced.

Columns	Field Name	Field Type	M/O	Values	Description
64	Status Flag	Num 1	M	0=Issued 1=Stopped 2=Canceled 3=StopRepl 4=Cancel Repl 5=Stop-deposit 9=Deposited/Surrendered	Indicates the current status of the certificate.
65-114	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
CERT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
CERT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
CERT0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
CERT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Contingent Deferred Sales Charge (CDSC) Hypothetical Calculation

(Example on page 181)

Required

This function allows the operator to perform a hypothetical redemption calculation, either full or partial, when a CDSC fund is viewed through Vision. These calculations use the most recent NAV.

Transaction ID: HYPOCALC@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
34	Redemption Type Code	Alpha 1	M	G=Gross N=Net	This field indicates whether the hypothetical redemption will be calculated at gross or net.
35	Full Redemption Code	Alpha 1	M	Y=Full Redemption N=Partial Redemption	This field indicates whether the hypothetical redemption will be a full or partial redemption. If it is a partial redemption, either the Redemption Dollar Amount of Redemption Share Count field is required.
36-50	Redemption Dollar Amount	Num 15	M	13.2	This field is used to specify the redemption amount in dollars.
51-65	Redemption Share Count	Num 15	M	11.4	This field is used to specify the redemption amount in shares.

Transaction Fixed Response Data

Columns	Field Nam	Field Type	M/O	Values	Description
1-15	Redemption Dollar Amount	Num 15	M	13.2	Dollar amount of the hypothetical redemption.
16-30	Redemption Share Count	Num 15	M	11.4	Share count of the hypothetical redemption.
31-39	NAV	Num 9	M	5.4	Base price of a mutual fund share.
40-54	CDSC Amount	Num 15	M	13.2	The sales charge for the hypothetical redemption.
55-69	Free Money Amount	Num 15	M	13.2	Money that is not subject to CDSC fees.
70-84	Shareowner Check Amount	Num 15	M	13.2	The amount of the check issued to the shareowner consisting of redemption amount minus CDSC fee.
85-134	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
HYPO0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
HYPO0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
HYPO0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
HYPO0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Dealer Information

(Example on page 183)

Required

This function provides a consolidated view of account information at the dealer/branch level. When secured at the dealer level, this function provides the broker/dealer with information on any branch under the dealer by entering the appropriate dealer/branch number.

Transaction ID: DEALINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-20	Filler	Char 7		Send spaces.	For future use.
21-30	Dealer Number	Char 10	M		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
31-40	Branch Number	Char 10	M/O		The Dealer/Branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
41	Search Code	Alpha 1	M	F=FINS ID D=Dealer B=Branch	Indicates what type of search has been initiated.
42-66	Index	Char 25	O		Used for repositioning. Initially spaces, this field is used on subsequent calls and is populated from the Index field in the Fixed Response.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Dealer Number	Char 10	M/O		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
11-20	Branch Number	Char 10	M/O		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
21-27	Filler	Char 7	O	Send spaces.	For future use.
28-62	Dealer Registration Line 1	Char 35	M		Dealer name and address.
63-97	Dealer Registration Line 2	Char 35	M		Dealer name and address.
98-132	Dealer Registration Line 3	Char 35	M		Dealer name and address.
133-167	Dealer Registration Line 4	Char 35	M		Dealer name and address.
168-202	Dealer Registration Line 5	Char 35	M		Dealer name and address.
203-237	Dealer Registration Line 6	Char 35	M		Dealer name and address.
238-272	Dealer Registration Line 7	Char 35	M		Dealer name and address.
273-281	Total Closed Accounts	Num 9	M		Displays the total number of closed accounts for the dealer.
282-290	Total Open Accounts	Num 9	M		Displays the total number of open accounts for the dealer.
291-307	Total Dollar Eval Amt	Num 17	M	15.2	Total dollar value of all assets for the dealer.
308-314	Total Non	Num 7	M		Number of non-networking

Columns	Field Name	Fi ld Type	M/O	Values	D scripti n
	Networking Accts Matrix Level 0				(matrix level 0) accounts for the dealer.
315-321	Total Broker Controlled IRA Margin Accts Matrix Level 1	Num 7	M		Number of broker-controlled IRA margin (matrix level 1) accounts for the dealer.
322-328	Total Customer Name Brokerage Accts Matrix Level 2	Num 7	M		Number of customer name brokerage (matrix level 2) accounts for the dealer.
329-335	Total Broker Controlled Brokerage Accts Matrix Level 3	Num 7	M		Number of broker-controlled brokerage (matrix level 3) accounts for the dealer.
336-342	Total Fund Controlled Brokerage Accts Matrix Level 4	Num 7	M		Number of fund-controlled brokerage (matrix level 4) accounts for the dealer.
343-349	Age Stratification 31-60	Num 7	O		Unsettle orders that are between 30 and 59 days old for the dealer.
350-356	Age Stratification 61-90	Num 7	O		Unsettle orders that are between 60 and 89 days old for the dealer.
357-363	Age Stratification Greater than 90	Num 7	O		Unsettle orders that are older than 90 days.
364-372	Total Outstanding Orders	Num 9	O		Total number of outstanding orders = total sale purchase order + total redemption order amount.
373-389	Total Dollar Amount of Net Orders	Num 17	O	15.2	Total dollar amount of net orders = total sales purchase order + total free purchase order + total redemption order amount.
390-392	Occurrences	Num 3	M	000-300	Number of times the variable response repeats.
393-417	Index	Char 25	O		Used for repositioning. Initially spaces, this field is used on subsequent calls and is populated from the Index field of the Fixed Request.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-30	Total Dollar Evaluation Amount	Num 17	M	15.2	Total dollar value of all assets for the dealer.
31-47	Total Sale Purchase Order Amount	Num 17	O	15.2	Total value of all unpaid orders for the dealer.
48-64	Total Free Purchase Order Amount	Num 17	O	15.2	Total value of all paid and pending orders for the dealer.
65-81	Total Redemption Order Amount	Num 17	O	15.2	Total value of all redemption orders for the dealer.
82-131	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
DLRI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
DLRI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
DLRI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
DLRI0004	The Dealer Number specified is not correct. Please click the **Back** button on your browser to return to the previous page so that you can make the necessary	Dealer number is not correct.

Error Code	Err r Message	Description
	correction.	
DLRI0012	This account does not have a dealer. Please click the **Back** button on your browser to return to the previous page.	Account does not have a dealer number.
DLRI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Dividend Reinvestment Information
(Example on page 186)

Required

This function displays details regarding shareowner instructions regarding dividend reinvestment between their accounts.

Transaction ID: DIVMOVE@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Exchange "To" Security Issue ID	Char 13	M		Identifies the target mutual fund.
14-33	Exchange "To" Account Number	Char 20	M		Identifies the target mutual fund account.

Columns	Field Name	Field Type	M/O	Values	Description
34	Automatic Reinvest Plan Type	Num 1	M	1=Regular to Regular 2=Fid to Fid 3=Reg to Fid 4=Fid to Reg	Identifies the type of accounts involved in the exchange.
35-69	"To" Registration Name 1	Char 35	M		First line of the additional mail address.
70-104	"To" Registration Name 2	Char 35	M		Second line of the additional mail address.
105-139	"To" Registration Name 3	Char 35	M		Third line of the additional mail address.
140-174	"To" Registration Name 4	Char 35	M		Fourth line of the additional mail address.
175-209	"To" Registration Name 5	Char 35	M		Fifth line of the additional mail address.
210-244	"To" Registration Name 6	Char 35	M		Sixth line of the additional mail address.
245-279	Not Currently Displayed	Char 35	O		Seventh line of the additional mail address.
280-282	"To" Plan Type	Num 3	O	1=Keogh 2=Benefit 3=IRA 4=Spousal IRA 5=Deferred 6=SEP IRA 7=Deferred 403B 8=401K 9=Simple IRA 10=Conversion ROTH	Identifies the "to" account type. Only required for FID-to-FID and REG-to-FID automatic reinvestment plan types.

Columns	Field Name	Field Type	M/O	Values	Description
				11=ROTH IRA	
				12=Educational IRA	
				98=Money Purchase Pension Plan	
				99=Profit Sharing Retirement Plan	
283	"To" Classification Code	Num 1	O	1=Control Account 2=Employer Account 3=Own Employee 4=Employee Account	Identifies who will be making the contributions for the "to" account. Only required for FID-to-FID and REG-to-FID automatic reinvestment plan types.
284-286	"From" Plan Type	Num 3	O	1=Keogh 2=Benefit 3=IRA 4=Spousal IRA 5=Deferred 6=SEP IRA 7=Deferred 403B 8=401K 9=Simple IRA 10=Conversion Roth 11=Roth IRA 12=Educational IRA 98=Money Purchase Pension Plan 99=Profit Sharing	Identifies the "from" account type. Only required for FID-to-FID and REG-to-FID automatic reinvestment plan types.

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C lumns	Field Name	Field Type	M/O	Values	Description
				Retirement Plan	
287	"From" Classification Code	Num 1	O	1=Control Account 2=Employer Account 3=Own Employee 4=Employee	Identifies who will be making the contributions for the "From" account. Only required for FID-to-FID and REG-to-FID automatic reinvestment plan types.
288-337	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
DIVM0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
DIVM0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
DIVM0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
DIVM0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Fund Distributions
(Example on page 188)

Optional

This function provides specific information about the distributions (dividends and capital gains) of a particular fund. Information such as record date, payable date, reinvestment date, and all corresponding share prices and rates are provided.

Transaction ID: DISTRIBS@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-23	Filler	Char 10		Send spaces.	For future use.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Occurrences	Num 3	M	000-150	Number of times the variable response repeats.
4-53	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Record Date	Char 10	O	MM/DD/ YYYY Default = Last	Date when fund company's books are closed and shareholders of record are determined. Declared dividends/capital gains are distributed to accounts that had shares on record date.
11-20	Calculation Date	Char 10	M	MM/DD/ YYYY Default = Last	Date when system actually calculates amount of dividends/capital gains to distribute to accounts.
21-30	Payable Date	Char 10	M	MM/DD/ YYYY Default = Last	Date on which a dividend payment is due to the security owners.
31-40	Reinvest Date	Char 10	M	MM/DD/ YYYY	Date reinvestment is made to the shareholder.

Columns	Field Name	Field Type	M/O	Values	Description
41-55	Dividend Rate	Numeric 15	M	5.10	Rate at which a fund accrues income dividends.
56-64	Reinvestment Price	Num 9	M	5.4	Price each reinvested share received.
65-79	Long Term Cap Gain Rate	Num 15	M	5.10	Rate at which a fund accrues long-term capital gains.
80-88	Long Term Cap Gain Price	Num 9	M	5.4	Price per share earned for the long-term capital gains.
89-103	Short Term Cap Gain Rate	Num 15	M	5.10	Rate at which a fund accrues short-term capital gains.
104-112	Short Term Cap Gain Price	Num 9	M	5.4	Price per share earned for the short-term capital gains.
113-127	Mutual Fund Distribution Special Dividend 1 Rate	Num 15	M	5.10	Rate at which a fund accrues Special Dividend 1.
128-142	Mutual Fund Distribution Special Dividend 2 Rate	Num 15	M	5.10	Rate at which a fund accrues Special Dividend 2.
143-157	Mutual Fund Distribution 28 Percent Long Term Capital Gain Rate	Num 15	M	5.10	Rate at which a fund accrues 28% long-term capital gains.
158-166	Mutual Fund Distribution Special Dividend 1 Price	Num 9	M	5.4	Price per share earned for the Special Dividend 1.
167-175	Mutual Fund Distribution Special Dividend 2 Price	Num 9	M	5.4	Price per share earned for the Special Dividend 2.
176-184	Mutual Fund Distribution 28 Percent Long Term Capital Gain Price	Num 9	M	5.4	Price per share earned for 28% long-term capital gains.
185-234	Filler	Char 50		Send spaces.	For future use.

PRINT OF DRAWINGS
AS ORIGINALLY FILED

Error Messages

Error Code	Error Message	Description
DIST0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
DIST0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
DIST0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
DIST0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Fund Information

(Example on page 190)

Required

This function provides all pertinent information about each mutual fund. Pricing, yield, total return information, breakpoint schedules, and sales charge (dealer concessions) are available to be viewed.

Transaction ID: FUNDINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a

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Columns	Field Name	Field Type	M/O	Values	Descripti n
					one-character test code (P).
14-23	Price Date	Char 10	M	MM/DD/ YYYY Default = Last	Effective date of fund share price.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-18	Redemption Charge	Char 18		Send spaces.	For future use.
19-28	Price Date	Char 10	M	MM/DD/ YYYY	Effective date of fund share price.
29-38	Effective Date	Char 10	O	MM/DD/ YYYY	Effective date of fund yields and quotations.
39-47	NAV	Num 9	M	5.4	Base price of a mutual fund share.
48-58	Daily Dividend Rate	Num 11	O	2.9	Rate at which a fund accrues income dividends daily.
59-63	Daily Yield	Num 5	O	3.2	Dividend income expressed as a percentage of the market price of a fund.
64-68	Effective Wkly Yield %	Num 5	O	3.2	Yield earned for the seven days preceding the as-of-date.
69-73	Current Wkly Yield %	Num 5	O	3.2	Yield earned for the previous seven days.
74-83	Wkly Yield As Of Date	Char 10	O	MM/DD/ YYYY	Date that determines which time period to calculate the yield for the week.
84-88	Monthly Yield	Num 5	O	3.2	Yield earned for the previous month.
89-98	Monthly Yield As Of Date	Char 10	O	MM/DD/ YYYY	Date that determines which time period to calculate the yield for the month.
99-103	Annual Yield	Num 5	O	3.2	Yield earned for the year.
104-106	Average Maturity (days)	Num 3	O		Average time before the debt securities held by the fund will mature.
107-119	One Year Avg	Num 13	O	3.10	Average annual return for the

Columns	Field Nam	Field Type	M/O	Values	Description
	Annual Return %				current year.
120-129	One Year Avg Return As Of Date	Char 10	O	MM/DD/ YYYY	Date used to calculate the average annual return for the year.
130-142	Five Year Avg Annual Return %	Num 13	O	3.10	Average annual return for the last five years.
143-152	Five Year Avg Return As Of Date	Char 10	O	MM/DD/ YYYY	Date used to calculate the average annual return for the last five years.
153-165	Ten Year Avg Annual Return %	Num 13	O	3.10	Average annual return for the last 10 years.
166-175	Ten Year Avg Return As Of Date	Char 10	O	MM/DD/ YYYY	Date used to calculate the average annual return for the last 10 years.
176-178	Occurrences	Num 3	O	000-012	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-2	Discount Category	Char 2	O		Code indicating the price break a shareowner will receive on new shares purchased.
3-17	Order Level	Num 15	O	13.2	Cut-off amount for determining which price the shareowner receives when purchases are made.
18-22	Sales Commission	Num 5	O	0.5	The percentage of the gross amount of purchases to be deducted for sales commission.
23-27	Dealer Concession	Num 5	O	0.5	The percentage of the gross amount of purchases to be remitted to the individual dealer as commission.
28-36	Price Per Share	Num 9	O	5.4	Price at which shareowners purchase shares of a load fund.

Error Messages

Error Code	Error Messag	Description
FUND0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
FUND0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
FUND0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
FUND0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Fund List

Required

This function is used to return the appropriate information in each individual mutual fund in the management company and to provide the information displayed in NAV Summary View. Most recent NAV, NAV date, CUSIP, fund code, fund name, NASDAQ symbol, and CDSC·option information is available.

Transaction ID: FUNDLIST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies the mutual fund family.
9-18	NAV As Of Date	Char 10	M	MM/DD/YYYY	Date NAV is applicable.

Columns	Field Name	Field Type	M/O	Values	Description
				Default = Last	
19-72	Index	Char 54	M		Index to request additional funds when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-54	Index	Char 54	M		If non-spaces, contains index to request next group of funds.
55-104	Filler	Char 50		Send spaces.	For future use.
105-107	Occurrences	Num 3	M	000-200	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-15	Internal Fund Code	Char 15	M		Fund code.
16-60	Fund Name	Char 45	M		Fund name used for display purposes.
61-73	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
74-94	Not Currently Used	Char 21		Send spaces	Indicates what processing functions can occur on a fund.
95-102	Ticker Symbol	Char 8	M		NASDAQ symbol assigned to the fund.
103-111	NAV	Num 9	M	5.4	Base price of a mutual fund share.
112-121	NAV As-of-Date	Char 10	M	MM/DD/ YYYY	Date NAV is applicable.
122-172	Filler	Char 51		Send spaces.	For future use.

Error Messages

Error Code	Err r Message	Description
FNDL0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
FNDL0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
FNDL0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
FNDL0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Management Company Information

Required

This function displays any information regarding the fund management company, such as:

- Management company name
- Marketing and support phone numbers
- E-mail address for all correspondence initiated through Vision
- Security level for the Operator's ID (Dealer/Branch/Rep, for example).

Transaction ID: MGMTINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies the mutual fund family.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-38	Management Name	Char 38	M		Full name of the management company used for display purposes.
39-58	Marketing Phone Text	Char 20	O		This field is a phone number that can be displayed.
59-78	Support Phone Text	Char 20	O		This field is a phone number that can be displayed.
79-278	Management Company E-mail Address	Char 200	O		E-mail address for management company.
279	Security Level	Alpha 1	M	(Spaces)= Unrestricted D=Dealer B=Dealer/ Branch R=Rep T=Tax ID	Level of security defined as "dealer," "branch," "representative," "tax identification number,"or "all."
280-300	Not currently used	Char 21		Send spaces.	1-byte determines if the dealer has security for Vision. The remaining flags determine which functions for which the dealer has security.
301	Allow Model From Existing NASU	Alpha 1	M	Y=Yes N=No	Indicates whether or not the fund allows an operator to set up new accounts using the Model From Existing New Account Setup through Vision. For future use with Account Modeling.
302	Allow Initial Purchases via ACH	Alpha 1	M	N = No Y = Yes F = No Fiduciary	N = Initial ACH purchases are not allowed for both fiduciary and non-fiduciary accounts. Y = Initial ACH purchases are allowed for both fiduciary and

Columns	Field Name	Field Type	M/O	Values	Description
				D = No Non-Fiduciary	non-fiduciary accounts. F = Initial ACH purchases are allowed for non-fiduciary, but not allowed for fiduciary accounts. D = Initial ACH purchases are allowed for fiduciary accounts, but not allowed for non-fiduciary.
303	Allow New Account Setup	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to set up new accounts.
304	Allow NASU Interested Party	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to set up interested party information for accounts established through the Model from Existing NASU options in Vision. For future use with Account Modeling.
305	Allow Access TRAC	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to receive the TRAC (Retirement Plan Information) link.
306	Allow Access Electronic Statement	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to receive the Electronic Statements link.
307	Display Hyperlink to Literature	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to receive the View Fund Documents link.
308	Allow Access Fund Content	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to receive the Update Fund Content (Update Marketing Information) link.
309	Filler	Char 1	M	Send spaces.	For future use.
310	Allow Rights of Accumulation Linking to New Accounts	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows automatic linking of new accounts to new rights of accumulation numbers during new account setup.

Columns	Field Name	Field Type	M/O	Values	Description
311	Allow Rights of Accumulation Linking to Existing Accounts	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows automatic linking of existing mutual fund accounts to new rights of accumulation number created during new account setup.
312	Display Non-Resident Alien Citizenship for New Accounts	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to set up Non-Resident Alien accounts.
313-362	Filler	Char 50		Send spaces.	For future use.
363-365	Occurrences	Num 3	M	000-375	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Dealer Number	Char 10	M/O		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
11-20	Dealer Branch Number	Char 10	M/O		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
21-30	Representative Number	Char 10	M/O		Number of the representative on the account. This field is mandatory if the Operator ID has representative security; otherwise, send spaces.
31-40	Dealer Short Name	Char 10	M		Short Dealer Name.
41	Filler	Char 1		Send spaces.	For future use.
42-81	Dealer Long Name	Char 40	O		Long Dealer Name.
82-131	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
MGMT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
MGMT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
MGMT0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
MGMT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Order Information

(Example on page 192)

Optional

This function displays trade status and corresponding information before and after settlement. The NSCC control number or fund order number can be entered to retrieve the trade. Trade date, trade amount, number of shares, NAV, and confirm date can be viewed.

Transaction ID: ORDERS@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

(

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	D scription
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-22	Order Number	Num 9		Send spaces or null values.	DST-assigned order number. Required if NSCC Control Number is not used; Blank if NSCC Control Number is used.
23-37	NSCC Control Number	Char 15	O		NSCC-assigned order number. Required if Order Number is not used; Blank if Order Number is used.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-20	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
21-30	Filler	Char 10		Send spaces.	For future use.
31-39	Order Number	·Num 9	M		Number assigned to the transaction when the order is placed.
40-41	Management Code	Char 2	M		Management code associated with account.
42-51	Dealer Number	Char 10	M		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
52-61	Branch Number	Char 10	M		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
62	Load Code (Fund Type)	Alpha 1	M	Y=Load N=No-Load	Indicates if the fund is a load or no-load fund.
63-71	LOI Number	Char 9	O		Links accounts that signed a contractual agreement to

C lumns	Field Name	Field Type	M/O	Values	Description
					purchase a certain amount within 13 months to receive a price break.
72	Record Type (Status)	Alpha 1	M	S=Sale R=Redempt F=Free-Rec C=Clear-Rec	Indicates the status of the transaction. Sale = Purchase Free-Rec = Funds without instructions Clear-Rec = Funds with instructions or cancelled order.
73-82	Process Date	Char 10	M	MM/DD/ YYYY	Date the trade was processed to the shareholders account.
83-88	Transaction Identifier	Num 6	O		Indicates the type of transaction. Formatted as xxx/xxx (the "/" " is hard coded after the third character).
89-118	Order Transaction Description	Char 30	M		Description of the transaction for the selected order.
119-133	Gross Amount	Num 15	M	13.2	Total dollar amount of the transaction.
134-142	Offering Price	Num 9	M	5.4	Price used for the transaction.
143-157	Shares	Num 15	M	11.4	Number of shares involved in the transaction.
158-172	NAV Amount	Num 15	M	13.2	Base price of a mutual fund share.
173-187	Net From Dealer Amount	Num 15	M	13.2	Amount of purchase less the dealer commission.
188-197	Trade Date	Char 10	M	MM/DD/ YYYY	Date transaction was priced.
198-207	Confirmation Date	Char 10	M	MM/DD/ YYYY	Date transaction was actually processed.
208-217	Payment Date	Char 10	M	MM/DD/ YYYY	Date transaction was settled.
218-252	Dealer Registration Line 1	Char 35	M		Dealer name and address.
253-287	Dealer Registration Line	Char 35	M		Dealer name and address.

C lumns	Field Name	Field Type	M/O	Values	Description
	2				
288-322	Dealer Registration Line 3	Char 35	M		Dealer name and address.
323-357	Dealer Registration Line 4	Char 35	M		Dealer name and address.
358-392	Dealer Registration Line 5	Char 35	M		Dealer name and address.
393-427	Dealer Registration Line 6	Char 35	M		Dealer name and address.
428-462	Dealer Registration Line 7	Char 35	M		Dealer name and address.
463-464	Discount Category	Char 2	O		Code indicating the price break a shareholder will receive on new shares purchased.
465	CDSC Calc Date Indicator	Alpha 1	O	T=Trade Calc S=Settle Calc	Determines when the aging for a CDSC fund trade should begin.
466-480	CDSC Sales Charge Amount	Num 15	M	13.2	Amount to be charged to the shareowner for the dealer commission.
481	CDSC Payment Code	Char 1	O	0=Non-DCSC 1=Gross Pay 2=Net Pay 3=Spec Pay 4=Closeout Red	Indicates how the sales charge will be taken from the shareowner.
482-496	Income Dividend Amount	Num 15	O	13.2	Dividend dollar amount calculated while trade was pending.
497-511	Cap Gain Amount	Num 15	O	13.2	Capital gains dollar amount calculated while trade was pending.
512-526	Stock Dividend	Num 15	O	11.4	Shares that have experienced a

Columns	Field Name	Field Type	M/O	Values	Description
	Shares				stock split.
527-541	Income Dividend Shares	Num 15	O	11.4	Dividends calculated while trade was pending.
542-556	Short Term Shares	Num 15	O	11.4	Short-term capital gains calculated while trade was pending.
557-571	Cap Gain Shares	Num 15	O	11.4	Capital gains calculated while trade was pending.
572-586	NSCC Control Number	Char 15	M		NSCC assigned order number.
587-636	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ORDR0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ORDR0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ORDR0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ORDR0008	The Order Number or NSCC Control number entered corresponds to a dealer that your Vision ID is not authorized to view information for. Please click the **Back** button on your browser to return to the previous page.	Vision ID not authorized to view order information for a specific dealer.
ORDR0009	The Order Number of NSCC Control number entered corresponds to a dealer/branch that your Vision ID is not authorized to view information for. Please click the **Back** button on your	Vision ID not authorized to view order information for a specific dealer/branch.

Err r C de	Error Message	Description
	browser to return to the previous page.	
ORDR0010	The Order Number or NSCC Control number entered corresponds to a dealer/representative that your Vision ID is not authorized to view information for. Please click the **Back** button on your browser to return to the previous page.	Vision ID not authorized to view order information for a specific dealer/representative.
ORDR0011	Order Number was not found. Please click the **Back** button of your browser to return to the previous page so that you can make the necessary correction.	Order number not found.
ORDR0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Pending Transaction Information
(Example on page 196)

Required

This function displays basic information such as trade date, shares, and net and gross dollars for accounts that have transactions that have not settled (excluding orders). Items that may appear in Pending Transactions includes purchases, redemptions, exchanges, transfers and dividend/capital gains reinvestments.

Transaction ID: PENDTRAD@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-200	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-30	Transaction Description	Char 30	M		The description of the transaction.
31-40	Trade Date	Char 10	M	MM/DD/ YYYY	Date transaction was priced.
41-55	Shares	Num 15	M	11.4	Number of shares involved in the transaction.
56-70	Net Dollars	Num 15	M	13.2	Dollar amount of the transaction less commission.
71-85	Gross Dollars	Num 15	M	13.2	Total dollar amount of the transaction.
86-135	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
PEND0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
PEND0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
PEND0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
PEND0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the

Err r Code	Error Messag	Description
		allotted time.

Representative Summary

(Example on page 197)

Required

This function displays a summary of shareowner assets in each fund within a management company.

Transaction ID: REPSUM@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-23	Dealer Number	Char 10	M/O		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
24-33	Branch Number	Char 10	M/O		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
34-43	Representative Number	Char 10	M/O		Number of the representative on the account. This field is mandatory if the Operator ID has representative security; otherwise, send spaces.
44-68	Index	Char 25	O		Used for repositioning. Initially spaces, this field is used on subsequent calls and is populated from the Index field in the Fixed Response.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Valu s	Description
1-10	Representative Number	Char 10	M		Number assigned to the account representative.
11-45	Dealer Registration Line 1	Char 35	M		Dealer name and address.
46-80	Dealer Registration Line 2	Char 35	M		Dealer name and address.
81-115	Dealer Registration Line 3	Char 35	M		Dealer name and address.
116-150	Dealer Registration Line 4	Char 35	M		Dealer name and address.
151-185	Dealer Registration Line 5	Char 35	M		Dealer name and address.
186-220	Dealer Registration Line 6	Char 35	M		Dealer name and address.
221-255	Dealer Registration Line 7	Char 35	M		Dealer name and address.
256-264	Total Number of Accounts	Num 9	M		Total number of accounts across all funds for the representative.
265-281	Total Number of Shares	Num 17	M	13.4	Total number of shares across all funds for the representative.
282-298	Total Account Balance	Num 17	M	15.2	Total assets for the representative across all funds.
299-323	Index	Char 25	O		Used for repositioning. Initially spaces, this field is used on subsequent calls and is populated from the Index field in the Fixed Request.
324-348	Filler	Char 25		Send spaces.	For future use.
349-351	Occurrences	Num 3	M	000-300	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

C lumns	Field Nam	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund code.
29-35	Number of Accounts for Fund	Num 7	M		Number of accounts in the fund for the representative.
36-50	Number of Shares for Fund	Num 15	M	11.4	Number of shares in the fund for the representative.
51-65	Account Balance for Fund	Num 15	M	13.2	Balance of the accounts for the fund for the representative.
66-80	Percentage of Total for Fund	Num 15	M	5.1	Percentage of assets for the fund for the representative.
81-130	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
RSUM0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
RSUM0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
RSUM0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
RSUM0004	The Dealer number specified is not correct. Please click the **Back** button on your browser to return to the previous page so that you can make the necessary correction.	Dealer number not correct.

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Error Code	Error Message	Description
RSUM0005	The Representative (Rep) Number specified is not correct. Please click the **Back** button on your browser to return to the previous page so that you can make the necessary correction.	Representative number not correct.
RSUM0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Rights of Accumulation
(Example on page 199)

Optional

This function displays the accounts linked to Rights of Accumulation.

Transaction ID: ROAINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-22	Rights of Accumulation Number	Num 9	O		Links shareowner accounts to provide purchasing discounts and group reporting.
23-42	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
43-75	Index	Char 33	M		Index to request additional security issue IDs and account numbers.

Transaction Fixed Response Data

C lumns	Field Name	Field Type	M/O	Valu s	Description
1-15	Group Value Amount	Num 15	M	13.2	Total dollar amount for all accounts for the group.
16-30	Net ROA Amount	Num 15	M	13.2	Total dollar value of all cumulative shares on which a commission has been paid.
31-45	Total Open Accounts	Num 15	M		Total number of open accounts in the group.
46-60	Total Accounts	Num 15	M		Total accounts in the group.
61-73	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P). If blank, no more accounts to retrieve. If non-blank, retrieve more accounts.
74-93	Next Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund. If blank, no more accounts to retrieve. If non-blank, retrieve more accounts.
94-96	Occurrences	Num 3	M	000-020	Number of times the variable response repeats.
97-146	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Dollar Valuation	Num 15	M	13.2	Cumulative value for all of the accounts in that fund.
29-43	Associated Accounts Amount	Num 15	O	13.2	Accounts where commissions have been paid on 100% of the total valuation of the group.

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Columns	Field Name	Field Type	M/O	Values	Description
44-58	Rights of Accumulation Amount	Num 15	O	13.2	Accounts where commissions have been paid on less than 100% of the total valuation of the group.
59	Discount Code (Relationship)	Alpha 1	O	C= Cumulative A= Associative	Reflects whether commissions have been paid for the accounts in that fund. "Cumulative" = Shares in which commissions have been paid, "Associative" = Shares in which commissions have not been paid.
60-62	Occurrences	Num 3		000-120	Number of times the variable response repeats.
63-112	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-20	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
21-40	Filler	Char 20		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ROAI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ROAI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ROAI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.

Error Code	Error Messag	Description
ROAI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Systematic Agreement Information

(Example on page 201)

Required

This function displays all detail associated with the automated purchase and withdrawal of shares by a shareowner.

Transaction ID: SYSAGREE@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-065	Number of times the following variable response repeats.

Transaction Variable Repeatable Response Data

C lumns	Field Name	Field Type	M/O	Values	Description
1	Agreement Type Code	Alpha 1	M	C=Check D=Draft R=Redempt-ACH P=Purchase-ACH Z=Agreement Amount	Identifies the type of systematic agreement: C=Redemption check to shareholder D=Pre-authorized checking R=Systematic redemption via ACH P=Systematic purchase via ACH Z=Agreement amount (to be used at the fund's discretion)
2-11	Systematic Agreement Start Date	Char 10	M	MM/DD/YYYY	Date the systematic agreement starts.
12-21	Systematic Agreement Stop Date	Char 10	M	MM/DD/YYYY	Date the systematic agreement stops.
22-36	Amount	Num 15	O	13.2	Dollar amount of the systematic agreement.
37	Amount Null Code	Alpha 1	M	Y/N	Determines if a dollar amount will be displayed on the systematic agreement. If a dollar amount should be displayed, the Amount Null Code is 'N' and the Rate Null Code and Shares Null Code are 'Y'.
38-52	Rate	Num 15	O	5.10	Rate of the systematic agreement.
53	Rate Null Code	Alpha 1	M	Y/N	Determines if a percentage will be displayed on the systematic agreement. If a percentage should be displayed, the Rate Null Code is 'N' and the Amount Null Code and Shares Null Code are 'Y.'
54-68	Share Count	Num 15	O	11.4	Share count of the systematic agreement.
69	Shares Null Code	Alpha 1	M	Y/N	Determines if a share amount will be displayed on the

C lumns	Field Name	Field Type	M/O	Values	Description
					systematic agreement. If a share amount should be displayed, the Shares Null Code is 'N' and the Rate Null Code and Amount Null Code are 'Y.'
70-81	Contribution Year Table	Alpha 12	M	C=Current P=Previous Z=N/A For Each Month (12)	Identifies what year the contribution will be posted in for each of the 12 months of agreements.
82-93	Month Table	Alpha 12	M	Y/N for each month (12)	Indicates the months for which transactions will be processed.
94-124	Date Table	Alpha 31	M	Y/N for each day	Indicates the days of the month on which transactions will be processed.
125	Fiduciary Purchase Type Code	Alpha 1	M	E=Employee R=Employer L=Loan Repay Z=N/A	Displays the specified purchase contributor.
126	Purchase Confirm Frequency Code	Alpha 1	O	A=All N=Never Q=Quarterly	Identifies when a confirmation will be produced for purchase transactions. If anything other than the listed values are returned (including spaces), "N/A" will be displayed.
127	Redemption Payment Code	Alpha 1	O	G=Gross N=Net S=Special	Indicates the type of payment for a CDSC fund. If anything other than the listed values are returned (including spaces), "N/A" will be displayed.
128	Fiduciary Redemption Type Code	Alpha 1	M	A=Normal B=Premature C=Premature, No Exception D=Disability E=Death Z=Not	Displays the specified redemption type for all exchange relationships from a fiduciary account to a non-fiduciary account.

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Columns	Field Name	Field Type	M/O	Values	Description
				Applicable	
129	Redemption Type Code (Payment Option)	Alpha 1	O	L=Split P=Special S= Shareowner of Record	Indicates how the payment will be allocated. If anything other than the listed values are returned (including spaces), "N/A" will be displayed.
130-404	Filler	Alpha 275		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
SYSA0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
SYSA0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
SYSA0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
SYSA0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Systematic Exchange Information
(Example on page 203)

Required

This function allows the operator to view shareowner instructions for exchanging money between multiple accounts.

Transaction ID: SYSEXCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is

preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Occurrences	Num 3	M	000-045	Number of times the variable response repeats.
4-53	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Exchange Fund Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Exchange To/From Account Number	Char 20	M		The unique identifier for the "from" or "to" shareowner account within a mutual fund.
34	Exchange To/From Code	Alpha 1	M	F=From T=To	Indicates whether the account is the "from" or the "to" account.
35-44	Established Date	Char 10	M	MM/DD/ YYYY	The date on which the plan was established.
45	Method Code (Exchange Option)	Num 1	M	0=Dollar Amt 1=Rate 2=Share count	Indicates the type of exchange.

Columns	Field Name	Field Type	M/O	Values	Description
				3=Declining Bal 4=Life Expect Float 5=Fixed %	
46-60	Dollar Amount	Num 15	M	13.2	The dollar amount of the exchange.
61-75	Percent Rate	Num 15	M	5.10	The percent of the exchange.
76-90	Share Count	Num 15	M	11.4	The share amount of the exchange.
91-93	Declining Balance	Num 3	O		The declining balance of the exchange.
94	Rear End Payment Code	Alpha 1	O	G=Gross N=Net S=No Sales Chg	Indicates the type of payment for a CDSC fund.
95	Exchange Fee Code	Alpha 1	M	Y/N	Indicates whether or not a fee should be charged.
96	January Contrib Year	Alpha 1	O	C=Current P=Previous	Indicates whether the exchange will be posted to the current or prior year for a non-fiduciary to fiduciary exchange.
97	February Contrib Year	Alpha 1	O	C=Current P=Previous	Indicates whether the exchange will be posted to the current or prior year for a non-fiduciary to fiduciary exchange.
98	March Contrib Year	Alpha 1	O	C=Current P=Previous	Indicates whether the exchange will be posted to the current or prior year for a non-fiduciary to fiduciary exchange.
99	April Contrib Year	Alpha 1	O	C=Current P=Previous	Indicates whether the exchange will be posted to the current or prior year for a non-fiduciary to fiduciary exchange.
100	January Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.

Columns	Field Name	Field Type	M/O	Values	Description
101	February Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
102	March Exchange Code	Alpha 1	M	D=Deferred N=N Y=Yes	Indicates if exchanges are to be made this month.
103	April Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
104	May Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
105	June Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
106	July Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
107	August Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
108	September Exchange Code	Alpha 1,	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
109	October Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
110	November Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.

Columns	Field Name	Field Type	M/O	Values	Description
111	December Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
112-114	Processing Date 1	Num 3	M		First processing day code.
115-117	Processing Date 2	Num 3	M		Second processing day code.
118-120	Processing Date 3	Num 3	M		Third processing day code.
121-123	Processing Date 4	Num 3	M		Fourth processing day code.
124	FIDC Redemption Type	Alpha 1	M	A=Normal B=Premature C=Premature, No Exception D=Disability E=Death Z=Not Applicable	Displays the specified redemption type for all exchange relationships from a fiduciary account to a non-fiduciary account.
125	Fiduciary Purchase Type	Alpha 1	M	E=Employee R=Employer A=Not Applicable	Displays the specified purchase contributor for all exchange relationships from a non-fiduciary account to a fiduciary account.
126-127	Discount Category	Char 2	O		Code indicating the price break a shareowner will receive on new shares purchased.
128-177	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
SYSE0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error Message	Description
SYSE0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
SYSE0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
SYSE0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Chapter 7:

Non-Format Specific Content

While Vision predominately provides comprehensive information specific to a fund or customer account, Vision also has many features that enable the fund to customize its module within the Vision Web site, as well as provide non-transfer agency related content. The following is a brief description of the dynamic fund-provided marketing content and CDSC hypothetical liability text that allows a client to customize its Vision Web site module.

Vision Management Company Menu

Independent Content or Marketing Text

A section of Vision is dedicated to dynamic, fund-provided content. Vision will allow a fund company to maintain a marketing oriented message or fund specific text with hyperlinks. The space provided is a free form, unlimited text field that the fund can use for any information and/or HTML 3.2. The information will be displayed on the management company's specific Vision menu page. The fund has the option of providing text or hyperlinks within its marketing message to take the operator to any Web site desired, such as the fund's own corporate Web site. The fund is provided with a special Web site address and Operator ID. It is the fund's responsibility to maintain its text information and HTML, which can be remotely updated or deleted by the fund at any time. If text is not provided, the marketing section on the Vision Web page will not be displayed.

The following is a brief description of additional features available that allows a client to customize its Vision Web site module.

Available Fund List Hyperlink

The Vision enrollment and informational Web site (**http://www.dstvisioninfo.com**) provides information about Vision, a listing of the available funds for access, and allows the operators to electronically enroll for Vision. Vision has the option of allowing participants to link from the management company's name on the Available Funds list to the management company's Web site.

E-mail

Vision will allow the operator to send e-mail to a fund-designated address.

Fulfillment and On-line Dealer Statements

Vision provides access to fulfillment information and fund literature via an integrated hyperlink to Output Technologies. Output Technologies maintains this application and therefore no additional details regarding this option are provided in this document.

In addition, Output Technologies offers an on-line dealer statement viewing capability for Vision operators. Additional information is provided upon request.

Fund lists

Vision uses a fund list that contains the fund code, fund name, CUSIP and NASDAQ ticker symbol throughout the Web site.

Logos

Each management company may display its corporate logos throughout its module within Vision. The log displays in the upper left corner of each window.

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The logo must be 64 x 64 pixels, black & white or 256 colors, in GIF or JPEG format.

Marketing and Support Telephone Numbers

Marketing and support telephone numbers specific to the fund company can be incorporated into Vision. The numbers will be displayed below the marketing message on the management company's menu page.

Chapter 8:

Accessing Vision through a Fund's Web Site

Vision has been designed to allow operator entry from both the Vision URL, and/or if desired, the fund's own corporate Web site. If accessed from the fund's Web site, the operator will essentially hyperlink directly into the fund's main menu page within Vision bypassing any reference to any other mutual fund company. This is an integrated process whereby the operator never knows they have left the fund's corporate Web site. However, when leaving the fund's Web site to enter Vision, the sign on window will still be presented and will require the Vision Operator ID.

In addition, the fund may simply want to allow a non-integrated hyperlink from the corporate Web site to the Vision home page at **http://www.dstvision.com**, or the Vision information/enrollment page at **http://www.dstvisioninfo.com**.

Chapter 9:

Vision Options Implementation Worksheet

Management Level Options

The table should be completed upon the initial implementation of Vision. The information will apply to all funds offered through Vision Mutual Fund Gateway. This information will be updated on a configuration file at DST. Any additions, changes, or deletes to the management level options must be communicated to the Vision department.

Field Name	Description	Setting
Mutual Fund Company Name	The company name of the mutual fund (38 bytes). Displayed on the Vision management list exactly as indicated here.	
Related Accounts	Is the Related Accounts option supported for Fund/Account searches?	☐ Yes ☐ No
Name Search	Is the Account Search by Shareowner option supported?	☐ Yes ☐ No
Name Search Across Funds	Is the Search Across all funds supported for Name Search?	☐ Yes ☐ No
Representative Search	Is the account search by representative number supported?	☐ Yes ☐ No
Representative Search Across Funds	Is the Search Across all funds supported for Representative Search?	☐ Yes ☐ No
Sort Order	Is operator-defined sort order supported? This field determines if sort criteria is displayed in the "Account Search by Rep/Advisor" window.	☐ Yes ☐ No
Tax ID + Zip Code Sort	Is sort by Tax ID + Zip Code supported?	☐ Yes ☐ No

Field Name	Description	Setting
Rights of Accumulation + Zip Code Sort	Is sort by ROA + Zip Code supported?	☐ Yes ☐ No
Fund/Account	Is sort by fund and account number supported?	☐ Yes ☐ No
Name Sort	Is sort by shareowner name supported?	☐ Yes ☐ No
Order Information	Is order information supported?	☐ Yes ☐ No
Fund Distributions	Is fund distributions (dividends/capital gains) supported?	☐ Yes ☐ No
Maintenance History	Is maintenance history supported?	☐ Yes ☐ No
Year End Information	Is the year end details supported?	☐ Yes ☐ No

Chapter 10:

Field Descriptions and Definitions

Management Company Menu

Management Company Menu

Account Search by Rep/Advisor

Enables you to retrieve shareholder account information by representative or advisor number. This option enables you to group the retrieved list of accounts by sort criteria options: tax ID number and ZIP code, rights of accumulation number and ZIP code, fund number and account number, or alphabetical by shareholder name.

Account Summary by Rep/Advisor

Displays representative-level account summary information (including fund number, number of accounts by fund, share volume by fund, assets by fund, and totals).

Dealer Information

Displays dealer summary information at the dealer or dealer/branch level. Dealer information includes the dealer's registration, total assets, number of open and closed accounts, total accounts by matrix level, order summary information, and fund level assets.

Distribution Information

Displays a specific fund's dividend and capital gain information (including record date, dividend and capital gain rate and price, reinvest price and payable and reinvest date).

Fund Information

Displays a specific fund's net asset value (NAV), daily dividend rate, yields, total returns, average maturity, redemption charge, and exchange charge for a specified date. The most current information will be displayed unless a specific date is requested.

Net Asset Value Summary

Displays the net asset value (NAV) for each fund within the mutual fund family. The most current information will be displayed unless a specific date is requested.

New Account Setup

Enables you to establish all information for a new account.

Order Information

Displays specific fund order information (including dealer registration, gross amount, trade price, shares, NAV, dealer net amount, trade date, and sales charge). Order information can be retrieved by entering an order number or an NSCC Fund/SERV control number.

Search by Dealer Account (BIN)

Enables you to retrieve shareholder account information by dealer account number. This option enables you to retrieve related accounts within a specific fund or across all funds in that family of funds.

Search by Fund and Account

Enables you to retrieve shareholder account information by fund account number. This option enables you to retrieve related accounts within a specific fund or across all funds in that family of funds.

Search by Shareholder Name

Enables you to retrieve shareholder account information by shareholder last name, last and first names, or last and first names and middle initial. This option enables you to retrieve related accounts within a specific fund or across all funds in a family of funds.

Search by Tax ID/SSN

Enables you to retrieve shareholder account information by shareholder tax ID or Social Security Number. This option enables you to retrieve related accounts within a specific fund or across all funds in a family of funds.

Contingent Deferred Charge Calculation Text

Contingent Deferred Sales Charge (CDSC) hypothetical calculation enables a operator to determine the potential sales charges levied for a particular account with a given redemption amount from a CDSC fund. The CDSC hypothetical calculation allows for full or partial redemption calculations, and will display net asset value (NAV), CDSC fee amount, free money, and the redemption proceeds to the shareholder. Partial redemptions can be calculated at gross or net and can be entered as dollars or shares. All calculations are based on the previous business days's NAV. Free money is the dollar amount currently available for redemption without incurring a sales charge.

The fund maintains its own text regarding restrictions, liability or instructions for calculating CDSC. CDSC text is a free form, unlimited space that can include hyperlinks and can be updated by the fund at any time. The CDSC text section will be displayed only if text is provided by the fund.

Fiduciary Information

Fiduciary Information

Account

Displays the shareholder's account number, as identified by the fund company.

Classification

Displays the contribution classification of the account. The classification may be:

- control account
- employer account
- own employee

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- employee account

Current Year YTD Employee Contribution

Displays the current year-to-date contributions made by the employee.

Current Year YTD Employer Contribution

Displays the current year-to-date contributions made by the employer.

Inception to Date Capital Gains

Displays the total capital gains earned since the inception of the account.

Inception to Date Dividends

Displays the total dividends earned since the inception of the account.

Inception to Date Employer Contribution

Displays the inception-to-date contributions made by the employer.

Inception to Date Employee Contribution

Displays the inception-to-date contributions made by the employee.

Inception to Date Nontaxable Withdrawals

Displays the nontaxable withdrawals made from the account since its inception.

Inception to Date Taxable Withdrawals

Displays the taxable withdrawals made from the account since its inception.

Inception to Date Withholdings

Displays the withholdings on the account since its inception.

Plan Type

Displays the account type. The account type may be:

- Keogh
- benefit
- IRA
- spousal IRA
- deferred
- SEP IRA
- deferred 403B
- 401K

Planholder Birthdate

Displays the shareholder's date of birth.

Planholder Marital Status

Displays the shareholder's marital status. The status may be:

- married
- single

Primary Beneficiary

Displays the primary beneficiary's name, mailing address, relationship, tax identification number, and date of birth. This field also displays the date on which the primary beneficiary was designated as such.

Prior Year YTD Employer Contribution

Displays the year-to-date contributions made by the employer for the previous year.

Prior Year YTD Employee Contribution

Displays the year-to-date contributions made by the employee for the previous year.

Return to Menu

Returns to the Management Company Menu.

Secondary Beneficiary

Displays the secondary beneficiary's name, mailing address, relationship, tax identification number, and date of birth. This field also displays the date on which the secondary beneficiary was designated as such.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Year to Date Capital Gains

Displays the year-to-date capital gains earned.

Year to Date Dividends

Displays the year-to-date dividends earned.

Year to Date Nontaxable Withdrawals

Displays the year-to-date nontaxable withdrawals made from the account.

Year to Date Taxable Withdrawals

Displays the year-to-date taxable withdrawals made from the account.

Year to Date Withholdings

Displays the year-to-date withholdings on the account.

Shareholder Account History

Shareholder Account History

Account

Displays the shareholder's account number, as identified by the fund company.

Amount

Displays the total dollar amount of the transaction.

Batch

Displays either the data entry number used to group like items together or displays the system-generated batch number assigned to the transaction.

Cert

Displays whether a certificate was issued for the transaction.

Confirmation Date

Displays the month, day, and year on which the transaction was processed.

Description

Displays a description of the transaction, such as the year of the transaction or the transaction type.

Discount Cat

Displays the price break a shareholder will receive on new shares purchased.

Price

Displays the price per share that corresponds to the transaction record.

Return to Account List

Returns to the Account List window.

Schedule

Displays whether the transaction occurred before noon ("AM") or after noon ("PM").

Share Balance

Displays the total share balance of the shareholder's account after the transaction.

Shares

Displays the number of shares corresponding to the transaction.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Trade Date

Displays the trade date assigned to the specified transaction. This date is the effective date of the transaction and may or may not be equal to the confirmation date. For financial transactions, this is the date used to determine the share price.

Transaction Sequence #

Displays a number indicating the sequence in which the transaction was
processed.

Transaction ID

Displays the transaction code and suffix. The transaction code and suffix define
the specific transaction type for the displayed transaction.

Shareholder Account Information

Shareholder Account Information

Account

Displays the shareholder's account number, as identified by the fund company.

Account History

Displays account transaction lists.

Account Maintenance History

Displays maintenance history for the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

Additional Mail

Displays the full registration and additional mailing addresses associated with the account.

Alpha Code

Displays a shareholder's alpha code. An alpha code is a ten-character code that can be formatted in one of the following ways:

- the entire last name (up to ten characters) followed by as much of the first name as will fit
- (5-4-1) the first five letters of the last name, the first four letters of the first name, and the middle initial. If the first or last name does not have the required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces

Average Cost

Displays initial and current cost basis information.

Bank Instructions

Displays the routing number and address of the bank to which the shareholder account is linked as well as the account number, registration, and type.

Capital Gains

Displays the method for distributing capital gains: reinvest or pay in cash.

CDSC Hypothetical Calculation

Displays hypothetical information on contingent deferred sales charge (CDSC) fees for a redemption from the account. (Displayed fees are for informational purposes only. This window does not initiate an actual redemption transaction.)

Certificates

Displays certificate and status information about any issued certificates for the account.

Rights of Accumulation Number

Displays the rights of accumulation (ROA) number. An ROA number links shareholder accounts to provide purchase discount pricing and for group reporting purposes.

Daily Dividend Accrual

Displays the dividend amount that has accrued within the account since the last dividend payment. This applies to daily dividend funds only.

Date Established

Displays the date that the shareholder's account was established with the fund. (If the last maintenance date displayed for the account is before the date established, the Date Established field will indicate the date the account was first funded.)

Dealer Account

Displays the number used by the dealer to identify a client's account.

Dealer Information

Displays account and order summary information by dealer.

Dealer Name

Displays the dealer firm name.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Distribution Amount

See either Net Pending (Reinvest) Distribution Amount or Net Pending (Cash) Distribution Amount.

Dividend Reinvestment

Displays registration and fund information for the "from" and "to" accounts involved in an automatic dividend reinvestment plan.

Dividends

Displays the method for distributing dividends: reinvest or pay in cash.

Escrow Shares

Displays the number of escrow shares held in the account. Escrow shares are held in custody by the transfer agent, pending successful completion of a letter of intent (LOI). Usually, the escrow share amount is equal to five percent of the LOI dollar amount.

Exchange

Allows you to exchange shares out of the currently displayed account and in to a new or selected account.

Fiduciary Account

Displays beneficiary and transaction information for the account.

Issued Shares

Displays the number of shares that are in certificate form.

Last Maintenance

Displays the most recent voluntary update to the file.

Letter of Intent Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

Matrix Level

Displays one of five values to indicate the level of dealer control:

- 0 = non-networked broker account
- 1 = broker control IRA margin account
- 2 = customer name brokerage account
- 3 = broker control brokerage account
- 4 = fund controlled brokerage account

NAV Per Share

Displays the dollar value of one share of the fund. Value is determined by the formula (Total Assets - Total Liabilities)/Total Shares Outstanding.

Net Pending (Cash) Distribution Amount

Displays the dollar amount of pending cash distributions. This field displays any of the following distribution types:

- cash income dividends
- cash short-term capital gains
- cash long-term capital gains
- any other miscellaneous cash distribution amounts

Net Pending (Reinvest) Distribution Amount

Displays the dollar amount of pending reinvestment distributions. This field displays any of the following distribution types:

- reinvest income dividends
- reinvest short-term capital gains
- reinvest long-term capital gains
- any other miscellaneous reinvestment distribution amounts

Pending Trades

Displays transaction information for pending trades associated with the account.

Purchase

Allows you to purchase shares of the currently displayed account.

Redeem

Allows you to redeem shares of the currently displayed account.

Rep/Advisor Name

Displays the name of the representative on the account.

Rep/Advisor Number

Displays the number assigned to the dealer representative on the account.

Return to Account Lists

Returns to the Account List window.

Rights of Accumulation (ROA)

Displays group value amounts and information about accounts linked to the account.

Systematic Agreement

Displays the calendar and redemption or purchase information for the systematic agreement.

Systematic Exchange

Displays calendar information and transaction settings for the systematic exchange.

Tax ID

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Unissued Shares

Displays the number of shares in the account that do not have issued certificates.

Year End Summary

Displays reporting, distribution, contribution, and form/tape status information.

Account Maintenance History

GLOBAL PRIME INVESTORS
Account Maintenance History

28 MFB FUND - MIRRORS GVT FUND 22
Ticker - MGVTF   CUSIP - 226300101   Fund Code - 28

Account: 8408   DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453   507 PACIFIC DR
                                      BELTON MO 64012-2935

Maint Date	Batch Number	Field Name	Previous Field Value	Current Field Value
12/14/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/14/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/14/1998	0008818	REG-NAME-2	503 PACIFIC DR	507 PACIFIC DR
12/14/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/14/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/14/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/14/1998	0008818	ALPHA-CODE	LOPEZDEBB	41PEZDEBB
12/14/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/11/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/11/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/11/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/10/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/10/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
11/18/1998	0008818	SOCIAL-SEC-NO	486801964	499704453
11/12/1998	0000123	LINE-CODE	3	2
11/12/1998	0000123	REG-NAME-2	DO NOT USE-SPECIAL DIV	507 PACIFIC DR
11/12/1998	0000123	REG-NAME-3	503 PACIFIC DR	BELTON MO 64012-2935
11/12/1998	0000123	REG-NAME-4	BELTON MO 64012-2935	
11/12/1998	0000123	SOCIAL-SEC-NO	486801963	499704453
05/29/1998	0000001	STOP-MAIL	Y	N
05/29/1998	0000001	STOP-MAIL-DTE	19980529	00000000
05/29/1998	0000001	STOP-MAIL	N	N
05/29/1998	0000001	STOP-MAIL-DTE	00000000	00000000
05/29/1998	0000001	STOP-TRANSFER-CDE	Y	N
05/29/1998	0000001	STOP-TRANSFER-CDE	N	N
05/29/1998	0000001	STOP-MAIL	Y	N
05/29/1998	0000001	STOP-MAIL-DTE	19980529	00000000
05/29/1998	0000001	STOP-MAIL	N	N
05/29/1998	0000001	STOP-MAIL-DTE	00000000	00000000
05/29/1998	0000001	REG-NAME-3	504 PACIFIC DR	BELTON MO 64012-2935
05/28/1998	0000001	EXPEDITED-EXCH	N	Y
05/28/1998	0000001	EXPEDITED-ACCT	N	Y
05/28/1998	0000001	ACH-FLAG	N	Y
05/28/1998	0000001	BENEFIT	6	N
05/28/1998	0000001	EXCHANGE	8	N
02/26/1998	0000633	LINE-CODE	2	2
02/26/1998	0000633	REG-NAME-2	504 PACIFIC DR	507 PACIFIC DR
02/26/1998	0000633	REG-NAME-3	BELTON MO 64012-2936	BELTON MO 64012-2935

Return To Menu   Help

Account Maintenance History

Account

Displays the shareholder's account number, as identified by the fund company.

Batch Number

Displays either the data entry number used to group like items together or displays the system-generated batch number assigned to the transaction.

Current Field Value

Displays the value of the specified field after the maintenance transaction was processed.

Field Name

Displays the name of the field that was updated.

Maint Date

Displays the month, day, and year on which updates that did not affect the share or cash balance were made to the account.

Previous Field Value

Displays the value of the specified field before the maintenance transaction was processed.

Return to Account List

Returns to the Account List window.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Account Search by Dealer Account

Account Search by Dealer Account (BIN)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Agent for Firm

This ID identifies the agent for firm. Agent for firm is also known as the executing dealer, correspondent firm, or clearing dealer (a dealer who has an agreement to process NSCC trades for another dealer). This field is optional.

Dealer Account (BIN)

This number is used by the dealer to identify a client's account. Dealer account number is also referred to as broker identification number (BIN) or external account number.

Firm Number

This number is used to identify the firm. It is sometimes referred to as FINS, which stands for Financial Institution Numbering System.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same dealer account number.

Retrieve Related Accounts

When selected, this check box will cause information for related accounts to be retrieved. The Fund defines how accounts are related (for example, by tax ID number, ZIP code, or ROA number).

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Account Search by Fund and Account

Account Search by Fund and Account

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000® and the full fund name.

Retrieve Related Accounts

When selected, this check box will cause information for related accounts to be retrieved. The Fund defines how accounts are related (for example, by tax ID number, ZIP code, or ROA number).

Return to Menu

Returns to the Management Company menu.

Shareholder Account Number

Enter the shareholder's account number, as identified by the fund company.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Account Search by Rep/Advisor

Account Search by Rep/Advisor

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Alphabetical by Name

Displays the returned list of accounts in alphabetical order by shareholder name.

Alphabetical by Name

Displays the returned list of accounts in alphabetical order by shareholder name.

Rights of Accumulation + ZIP Code

Displays the returned list of accounts in ROA number and ZIP code order.

Dealer Number

This number is used to identify the dealer.

Fund + Account Number

Displays the returned list of accounts in fund name and account number order.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000 and the full fund name.

Rep/Advisor

Identifies the representative or advisor assigned to the account.

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder tax ID or Social Security number.

Tax ID + ZIP Code

Displays the returned list of accounts in tax ID and ZIP code order.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Account Search by Shareholder Name

Account Search by Shareholder Name

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

First Name

This name is the shareholder's first name on the account registration. This field is optional.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Last Name

This name is the shareholder's last name on the account registration.

Middle Initial

This initial is the first letter of the shareholder's middle name on the account registration. This field is optional.

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Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder registration.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

State Code

This code is the two-letter abbreviation for the state listed on the shareholder's account registration. This field is optional.

Account Search by Tax ID/SSN

Account Search by Tax ID/SSN

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000 and the full fund name.

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder tax ID or Social Security Number.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Tax ID/SSN

This number uniquely identifies the shareholder. You may enter the shareholder's tax ID number or Social Security Number.

Year End Summary

GLOBAL PRIME INVESTORS
1998 Year End Summary

28 MFB FUND - MIRRORS GVT FUND 22
Ticker - MGVIF   CUSIP - 226300101   Fund Code - 28

Account: 8408   DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453   507 PACIFIC DR
                                 BELTON MO 64012-2935

Reporting Type:	Domestic 1099DIV		Dividend Income:	$504,279.38
Estimated Account Value:	$3,156,957.71		Taxable Income:	$224,034.51
Average Assets:	$0.00		Non-taxable Income:	$230,375.60
Foreign Tax Rate:	0%		Long Term Cap Gains:	$212,153.35
Foreign Tax Paid:	$0.00		Short Term Cap Gains:	$49,869.27
			Section 1250 Cap Gains:	$0.00
			Cap Surplus:	$0.00
			Investment Expense:	$0.00

Distributions		Contributions	
Gross:	$716,432.73	IRA (Current Year):	$0.00
Non-tax:	$0.00	Employee (Current Year):	$0.00
Premature:	$0.00	IRA (Tax Year):	$0.00
Pre-Exempt:	$0.00	Conversion Roth:	$0.00
Disability:	$0.00	Employee (Tax Year):	$0.00
Death:	$0.00	Employer (Tax Year):	$0.00
Prohibited:	$0.00	Employer (Current Year):	$0.00
Normal:	$0.00	Employer Salary Reduction (Tax Year):	$0.00
Excess:	$0.00	Employer Salary Reduction (Current Year):	$0.00
Simple IRA:	$0.00	Rollover:	$0.00
Education IRA:	$0.00	5498 IRA:	$0.00
Loan Default:	$0.00	5498 SEP/Simple:	$0.00

Withholdings		Reallocations	
Dividend:	$0.00	Dividend Income:	$0.00
Redemption:	$0.00	Long Term Cap Gains:	$0.00
Foreign:	$0.00	Short Term Cap Gains:	$0.00
		Section 1250 Cap Gains:	$0.00
		Cap Surplus:	$0.00

Form Status		Tape Status
1099DIV:	Not Created	Not Created
1099INT:	Not Created	Not Created
1042S:	Not Created	Not Created
5498:	Not Created	Not Created
1099B:	Not Created	Corrected

1997 Year End Summary   1998 Year End Summary

Return To Menu   Help

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Year End Summary

Account

Displays the shareholder's account number, as identified by the fund company.

Account Value as of xx\xx\xx

Displays a dollar value that represents the total market value of the account as of the date shown. This field displays when "Prior Tax Year" was selected on the previous window.

Average Assets

Displays the average assets for the account for the taxable year.

Cap Surplus

Displays the capital surplus amount. This amount may be displayed as one of the following two amounts:

* the total from the capital surplus category on the Year End Fund/Account Totals File

* the total from the reallocated capital surplus category on the Year End Fund/Account Totals File

This field may display both an original amount and a reallocated amount. A negative sign (—) displays next to any negative figure. There is no original non-taxable income dividend amount. Non-taxable income dividends can be obtained only through reallocation.

Dividend Income

Displays the ordinary income reported in Box1B of the 1099-DIV tax form.

Estimated Account Value

Displays a dollar value that represents the total market value of the account for the current tax year. This field displays when "Current Tax Year" was selected on the previous window.

Foreign Tax Paid

Displays the total from the foreign tax credit category on the Year End Fund/Account Totals File. This amount should equal the amount displayed under "Foreign tax paid" on both the 1099-DIV form for domestic accounts and on the 1099-INT form.

Foreign Tax Rate

Displays the foreign tax rate that should be withheld from dividend and capital gains distributions paid to a foreign account. This rate is taken from the Voluntary Shareowner Account Master File (A87) on December 31 of the taxable year.

Investment Expense

Displays the fund expense amount on the Year End Fund/Account Totals File. On the 1099-DIV form, the amount displayed should equal the amount under investment expense.

Long-Term Cap Gains

Displays the dollar amount of the long-term capital gains that are paid per share.

Non-Taxable Income

Displays the non-taxable reallocated income dividend amount from the Year End Year To Date Account Totals file.

Reporting Type

Displays the plan type. Plan types are:

- Foreign 1099
- Foreign 1042S
- Foreign Fiduciary-Non-IRA
- Foreign IRA
- Domestic 1099
- Domestic 1042S
- Domestic Fiduciary-Non-IRA
- Domestic IRA

Return to Menu

Returns to the Management Company menu.

Section 1250 Cap Gains

Displays the dollar amount of the section 1250 capital gains that are paid per share.

Short-Term Cap Gains

Displays the dollar amount of the short-term capital gains that are paid per share.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Taxable Income

Displays the taxable income dividend amount from the Year End Year To Date Account Totals file.

Distributions

Death

Displays the total in the death distributions category on the Year End Fund/Account Totals File. This amount appears on the 1099-R form.

Disability

Displays the total in the disability distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Education IRA

Displays the total amount of distributions from an educational IRA account in the tax year.

Excess

Displays the total in the excess distributions category on the Year End Fund/Account Totals File. This amount appears on the 1099-R form.

Gross

Displays the gross dollar amount determined by the type of 1099 form:

- 1099-DIV—displays the amount under "Gross dividends and other distributions" for domestic accounts. The 1099-DIV amount should equal the sum of the following amounts: ordinary income + long-term capital gains + capital surplus (including the non-taxable income dividends).
- 1099-INT—displays the amount under "Earnings from Savings and Loan".
- 1042S—displays the "Gross amount of income paid".

Loan Default

Displays the total amount of distributions from an account as a result of a default on a loan for the tax year.

Non-Tax

Displays the dollar amount of dividends from reallocated income that are non-taxable. This amount comes from the Year End Fund/Account Totals File. Taxable income is the total from the reallocated surplus and the non-taxable income dividend categories on the Year End Fund/Account Totals File.

Note: On the 1099-DIV form, the amount displayed should equal the amount under "Non-Taxable Distributions" for domestic accounts. There is no original non-taxable income dividend amount. Non-taxable income dividends can be obtained only through reallocation. Only a reallocated amount is possible for this field. A negative sign (-) will appear next to any negative figure.

Normal

Displays the total in the normal distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Premature

Displays the total in the premature distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Pre-Exempt

Displays the total amount of life-expectancy withdrawals from fiduciary accounts. Life-expectancy withdrawals taken by shareowners under age 59½ are not subject to the taxes normally imposed on a redemption made to an individual under age 59½.

Prohibited

Displays the total in the prohibited distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Simple IRA

Displays the total amount of premature taxable distributions from a Simple IRA in the tax year. A premature distribution is a distribution made to an individual who is not yet 59½ years old from an account less than two years old.

Contributions

Conversion Roth

Displays the total amount of contributions that were rolled from another retirement type account into a Conversion ROTH IRA for the tax year.

Employee (Current Year)

Displays the dollar amount of non-IRA contributions made by the employee for the current year. This amount is reported on the 5498 tax form.

Employee (Tax Year)

Displays the dollar amount of non-IRA contributions made by the employee between January 1 and April 15 to be applied to the previous tax year's contributions. This amount is reported on the 5498 tax form.

Employer (Current Year)

Displays the dollar amount of SEP employer contributions made in the current year that apply to the current tax year.

Employer (Tax Year)

Displays the dollar amount of non-IRA contributions made by the employer between January 1 and April 15 to be applied to the previous tax year's contributions. This amount is reported on the 5498 tax form.

Employer Salary Reduction (Current Year)

Displays the amount of contributions taken from employer salary reduction plans made in the account for the current year.

Employer Salary Reduction (Tax Year)

Displays the amount of contributions taken from employer salary reduction plans made in the account for the tax year.

5498 IRA

Displays the amount of contributions for an 5498 IRA account. This field is calculated from fields in the Year End (B83) file as follows:

IRA-CONTRIBUTIONS-TAX-YEAR+ IRA-CONTRIBUTIONS-CURR-YEAR+ SEP-EMPLYEE-CONTR-TAX-YEAR+ SEP-EMPLYEE-CONTR-CURR-YEAR = 5498-IRA-AMT

5498 SEP/Simple

Displays the amount of contributions for an 5498 SEP/Simple IRA account. This field is calculated from fields in the Year End (B83) file as follows:

SEP-EMPLYR-CONT-TAX-YR-AMT+ SEP-EMPLYR-CONT-CUR-YR-AMT+ SEP-ER-SAL-RED-TAX-YR-AMT+ SEP-ER-SAL-RED-CUR-YR-AMT = 5498-SEP-SIMPLE-AMT

IRA (Current Year)

Displays the totals from the IRA Contributions, Current Year category on the Year End Fund/Account Totals File.

IRA (Tax Year)

Displays the totals from the IRA Contributions, Taxable Year category on the Year End Fund/Account Totals File.

Rollover

Displays the total dollar amount in the rollover contributions category on the Year End Fund/Account Totals File. This amount will appear on the 5498 form as "Rollover IRA Contributions."

Withholdings

Dividend

Displays the total in the dividend withholding category on the Year End Fund/Account Totals File. This amount is reported on the 1099-DIV form under Federal Income Tax Withheld.

Foreign

Displays the accumulated total of nonresident alien (NRA) withholdings for foreign shareholders. This amount equals the foreign tax rate multiplied by the total dividend distributions.

Redemption

Displays the total in the redemption withholding category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R in the following boxes:

- Box 1 = Gross Distributions
- Box 2 = Taxable Amount (distribution category of "3")

Reallocations

Cap Surplus

Displays capital surplus that has been reallocated due to Fund error.

Dividend Income

Displays income dividends that have been reallocated due to Fund error.

Long-Term Cap Gains

Displays long-term capital gains that have been reallocated due to Fund error.

Section 1250 Cap Gains

Displays Section 1250 capital gains that have been reallocated due to Fund error.

Short-Term Cap Gains

Displays short-term capital gains that have been reallocated due to Fund error.

Form/Tape Status

Form/Status

Displays the status of each of the listed forms. A form may be:

- not created
- produced
- corrected
- zeroed

Tape/Status

Displays the status of each of the listed tapes. A tape may be:

- not created
- produced
- corrected
- zeroed

Additional Mail

Additional Mail

Account

Displays the shareholder's account number, as identified by the fund company.

Last Maintenance Date

Displays the most recent voluntary update to the account registration.

Return to Menu

Returns to the Management Company menu.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

XXX Mail

Displays a secondary mailing address associated with the account. The field title will indicate the type of address displayed (for example, additional or interested party).

Average Cost

Average Cost

Account

Displays the shareholder's account number, as identified by the fund company.
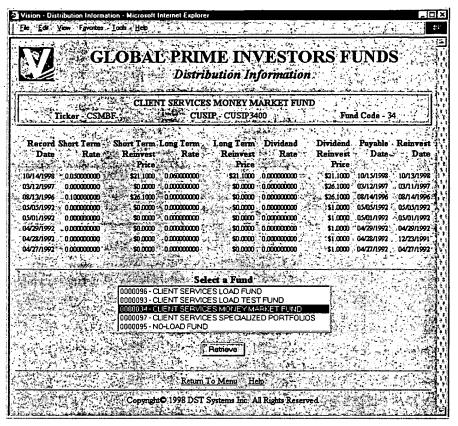
Return to Menu

Returns to the Management Company menu.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Initial Cost Basis

Cost Basis Amount

Displays the dollar amount of the shareholder's investment for tax purposes. The initial cost basis is as of the date in the Initial Cost Basis Effective From Date field.

Cost Per Unit

Displays the average cost per share when the transaction was processed.

Effective From Date

Displays the beginning date for which the account's history is available online. This is the date from which average cost statements and transcripts may be generated.

Last Maintenance Date

Displays the most recent voluntary update to the file.

Report Average Cost

Displays whether the shareholder will receive an average cost statement.

Shares

Displays the number of shares that were in the account on the Effective From date.

Status

Displays the account-level status at the time indicated by the Effective From date. One of the following statuses may be shown in this field:

- shareholder supplied

- dealer supplied
- pending
- representative supplied
- system: the account has never had any manual adjustments made to it
- transfer agent supplied

Current Cost Basis

Cost Basis Amount

Displays the dollar amount of the shareholder's investment for tax purposes. The current cost basis is as of the date in the Current Cost Basis Last Calculated Date field.

Cost Per Unit

Displays the current average cost per share.

Shares

Displays the number of shares in the account that were used to determine the current cost per unit.

Status

Displays the account-level status. One of the following statuses may be listed in this field:

- shareholder supplied
- dealer supplied
- pending
- representative supplied
- system: the account has never had any manual adjustments made to it
- transfer agent supplied

Last Calculation Date

Displays the date on which the last average cost calculation occurred. This date may be the result of a request for an average cost statement or transcript or the result of a periodic calculation performed by the fund.

Bank Instructions

Bank Instructions

Account

Displays the shareholder's account number, as identified by the fund company.

Bank Account

Displays the bank account number of the shareholder's bank. This account is the one to which funds are wired (in the case of a redemption) or from which payments are drawn (in the case of a pre-authorized purchase).

Bank Account Type

Displays one of two values to indicate the type of bank account from which the purchase will be made or into which the redemption will be deposited:

- C = checking
- S = savings

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Bank Account Registration

Displays the complete name(s) to which the bank account is registered.

Bank Name/Address

Displays the name and address of the shareholder's bank.

Return to Menu

Returns to the Management Company menu.

Routing

Displays the Federal Reserve's nine-digit routing identification number assigned to the shareholder's bank. The first four digits indicate the bank's Federal Reserve ID number; the second four digits indicate the American Banking Association (ABA) number; the last digit is the check digit.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Certificates

Certificates

Account

Displays the shareholder's account number, as identified by the fund company.

Canceled

Displays the month, day, and year on which the certificate was deposited to the shareholder's account.

Certificate

Displays the certificate identification number associated with the issued certificate.

Issued

Displays the month, day, and year on which the certificate was issued.

Prefix

Displays the three-character preface to the certificate number.

Replacement

Displays the new certificate number, if the certificate has been replaced with a new certificate.

Return to Account List

Returns to the Account List window.

Shares

Displays the number of shares corresponding to the certificate.

Status

Displays one of the following certificate status values:

- issued = the certificate is in issued form
- stopped = the certificate has been reported as lost
- canceled = the certificate has been deposited to the shareholder's account
- replaced = a previously "stopped" certificate has been replaced

Stopped

Displays the month, day, and year on which the certificate was stopped because it was reported as lost or not received.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

CDSC Hypothetical Calculation

CDSC Hypothetical Calculation

Account

Displays the shareholder's account number, as identified by the fund company.

CDSC Fee

Displays the total CDSC fee charged to the redemption.

CDSC Fee Description

Displays CDSC information specific to the fund family.

Check Amount

Displays the total dollar amount that would be issued to the shareholder. (If the Gross redemption option was selected, this amount will be less any CDSC fees.)

Free Money

Displays the amount of money in the account that is not subject to CDSC fees.

NAV Per Share

Displays the dollar value of one share of the fund as determined by the formula (Total Assets - Total Liabilities)/Total Shares Outstanding.

Redeeemed Dollars

Displays the total dollar value of the redemption.

Redeemed Shares

Displays the total share amount of the redemption.

Redemption Amount

If hypothetical fees are being calculated on a partial redemption, the Redemption Amount field must be completed.

- If the Dollars radio button is selected, enter the dollar amount of the redemption. Enter whole dollar amounts only.
- If the Shares radio button is selected, enter the number of whole shares to be redeemed.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Dealer Information

Dealer Information

Assets

Displays the total assets within the fund for the selected dealer or branch.

Branch Number

The branch number is the alphanumeric identifier assigned to the dealer branch.

Closed Accounts

Displays the total number of closed accounts for the dealer or dealer branch.

Dealer Number

The dealer number uniquely identifies the dealer.

Fund Name

Displays the full name of the fund.

Net Orders

Displays the net dollar value of all current orders. The amount is calculated by totaling the purchase orders paid and unpaid and subtracting any outstanding redemption orders.

Open Accounts

For each matrix level, displays the total number of open accounts.

Orders Older Than 30 Days

Displays unsettled orders that are more than 29 days old and less than 60 days old.

Orders Older Than 60 Days

Displays unsettled orders that are more than 59 days old and less than 90 days old.

Orders Older Than 90 Days

Displays unsettled orders that are more than 89 days old.

Paid Purchase Orders

Displays the gross dollar amount for all paid purchase orders on the Order Processing File.

Redemption Orders

Displays the gross dollar amount for all outstanding redemption orders on the Order Processing File.

Total Assets

Displays the total dollar value of all assets. The assets are calculated by totaling the shares for each account associated with the dealer or dealer/branch and multiplying the sum by the previous day's net asset value.

Total Accounts by Matrix Level

Displays the total number of accounts for each matrix level in the dealer or dealer/branch. Account totals are displayed for five levels of dealer control:

- Level 0 = non-networked broker account
- Level 1 = broker control IRA margin account
- Level 2 = customer name brokerage account
- Level 3 = broker control brokerage account
- Level 4 = fund controlled brokerage account

Total Orders

Displays the total number of outstanding orders for the dealer or dealer/branch.

Unpaid Purchase Orders

Displays the gross dollar amount for all outstanding purchase orders on the Order Processing File.

Dividend Reinvestment

Dividend Reinvestment

Account

Displays the shareholder's "from" account number, as identified by the fund company.

Classification

Displays one of the following classifications for the "to" or "from" account:

- control account
- employer account
- owner/employer account
- employee account

Plan Type

Displays the type of investment plan associated with the "to" or "from" account.

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Registration

Displays the complete shareholder registration of the "to" account. This information is retrieved from the Voluntary Shareowner Account Master File.

Reinvested To Account

Displays the account number to which dividends are reinvested.

Reinvested To Fund

Displays the fund information to which dividends are reinvested.

Return to Menu

Returns to the Management Company Menu.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.
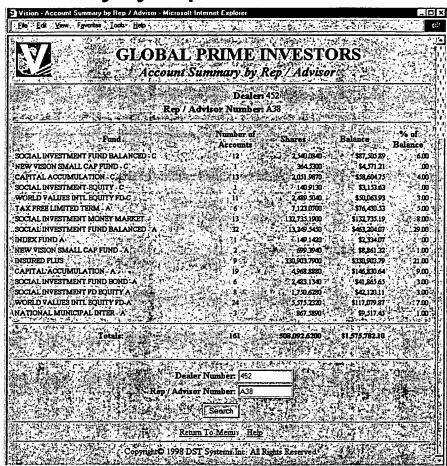
Distribution Information

GLOBAL PRIME INVESTORS FUNDS
Distribution Information

CLIENT SERVICES MONEY MARKET FUND
Ticker - CSMBF   CUSIP - CUSIP3400   Fund Code - 34

Record Date	Short Term Rate	Short Term Reinvest Price	Long Term Rate	Long Term Reinvest Price	Dividend Rate	Dividend Reinvest Price	Payable Date	Reinvest Date
10/14/1998	0.050000000	$21.1000	0.060000000	$21.1000	0.000000000	$21.1000	10/15/1998	10/13/1998
03/12/1997	0.000000000	$0.0000	0.000000000	$0.0000	0.000000000	$26.1000	03/12/1997	03/11/1997
08/13/1996	0.100000000	$26.1000	0.000000000	$0.0000	0.000000000	$26.1000	08/14/1996	08/14/1996
05/05/1992	0.000000000	$0.0000	0.000000000	$0.0000	0.000000000	$1.0000	05/05/1992	05/05/1992
05/01/1992	0.000000000	$0.0000	0.000000000	$0.0000	0.000000000	$1.0000	05/01/1992	05/01/1992
04/29/1992	0.000000000	$0.0000	0.000000000	$0.0000	0.000000000	$1.0000	04/29/1992	04/29/1992
04/28/1992	0.000000000	$0.0000	0.000000000	$0.0000	0.000000000	$1.0000	04/28/1992	12/23/1991
04/27/1992	0.000000000	$0.0000	0.000000000	$0.0000	0.000000000	$1.0000	04/27/1992	04/27/1992

Select a Fund
0000096 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

[Retrieve]

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Distribution Information

Dividend Rate

Displays the dollar amount of the dividend distribution to be paid per share.

Dividend Reinvest Price

Displays the price per share for dividends to be reinvested.

Long-Term Rate

Displays the dollar amount of the long-term capital gains that are paid per share.

Long-Term Reinvest Price

Displays the price per share at which long-term capital gains are reinvested.

Payable Date

Displays the date on which a distribution is made payable to shareholders.

Record Date

Displays the date on which the shareholders were recorded in the books to receive distributions.

Reinvest Date

Displays the reinvest date of the distribution. This date is used to determine the reinvestment price.

Short-Term Rate

Displays the dollar amount of the short-term capital gains that are paid per share.

Short-Term Reinvest Price

Displays the price per share at which short-term capital gains are reinvested.

Fund Information

Vision - Fund Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Fund Information

CLIENT SERVICES LOAD FUND

Ticker - CSLD   CUSIP - 531545101   Fund Code - 96

Rate/quotations as of: 06/17/1999

NAV: $55.6100

Daily Dividend Rate: 0.001234567
Average Maturity (days): 0
Redemption/Exchange charge(s) may apply.

NOTE: Past performance is not indicative of future results.

	Yields	As of Date
Daily		
Current 7-day		
Effective 7-day		
30 day		
Annual		

Discount Category

Breakpoint Levels	Sales Commission	Dealer Concession	Price	Discount Category
999,999.99	50.000%	40.000%	$111.2200	01
999,999,999,999.99	50.000%	40.000%	$111.2200	05
9,999,999,999,999.99	0.000%	0.000%	$55.6100	99

Select a Fund

```
0000096 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND
```

Date: (mm/dd/yyyy) 06/17/1999
Leaving date blank retrieves most recent fund information

☐ Retrieve previous date

[Retrieve]

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Fund Information

November 22, 1999

Annual (yield)

Displays the annual yield average, as defined by the fund. The annual yield average describes past performance of the fund and does not guarantee future results.

Average Maturity (days)

Displays the average time before the debt securities held by the fund will mature.

Current 7-Day (yield)

Displays the current seven-day yield average, as defined by the fund. The current seven-day yield average describes past performance of the fund and does not guarantee future results.

Daily (yield)

Displays the daily yield by the fund for the date displayed.

Daily Dividend Rate

Displays the daily dividend rate for the fund and date specified (applicable for daily dividend funds only).

Date

Indicates the pricing date for which fund information is retrieved. The date must be entered in mm/dd/yyyy format. (For example, to specify the date February 16, 1998, type "02/16/1998".) If no date or a non-business day is entered, the most recent information will be retrieved.

Effective 7-Day (yield)

Displays the effective seven-day yield average, as defined by the fund. The effective seven-day yield average describes past performance of the fund and does not guarantee future results.

NAV

Displays the Net Asset Value. The Net Asset Value is the dollar value of one share of the fund as determined by the formula (Total Assets - Total Liabilities)/Total Shares Outstanding.

Retrieve Previous Date

When selected, this check box will cause the prior day's information to be retrieved.

30 Day (yield)

Displays the 30-day yield average, as defined by the fund. The 30-day yield average describes past performance of the fund and does not guarantee future results.

Order Information

Order Information

Account

Displays the shareholder's account number, as identified by the fund company.

Alpha Code

Displays a shareholder's alpha code — a ten-character code used to designate the shareholder. It can be formatted in one of two ways:

- The entire last name (up to ten characters) followed by as much of the first name as will fit 2.(541) the first five letters of the last name, the first four letters of the first name, and the middle initial

- If the first or last name does not have the required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Dealer Net

For purchases, displays the total net dollar amount due from the dealer or the shareholder. For load funds, displays the gross dollar amount less the dealer commission amount. For redemptions, displays the total net proceeds due to the dealer or the shareholder.

Discount Category

Displays the price break a shareholder will receive on new shares purchased.

Capital Gain Amount

Displays the dollar value of capital gains calculated while an order purchase was pending settlement and for which a check was mailed to the dealer.

Capital Gain Shares

Displays the share quantity for capital gains calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Confirmation

Displays the month, day, and year on which the trade was processed.

Gross

Displays the gross dollar amount of the purchase or redemption trade.

Income Dividend Amount

Displays the dollar value of dividends calculated while an order purchase was pending settlement and for which a check was mailed to the dealer.

Income Dividend Shares

Displays the share quantity for dividends calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Order Number

A valid order number or NSCC control number is required. If you do not know the order number or NSCC control number, contact your mutual fund representative.

LOI Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

Management Code

Displays the two-character, alphabetic code used to identify the management company.

NSCC Control Number

A valid order number or NSCC control number is required. If you do not know the order number or NSCC control number, contact your mutual fund representative.

Payment

Displays the effective date of the trade for the transaction. The effective date indicates the date on which the dividend will be credited to the shareholder's account.

Price

Displays the price per share that corresponds to the transaction record.

Processed

Displays either the date the trade was processed to a shareholder's account or the date the trade was deleted from the Fail/Free File.

Shares

Displays the number of shares corresponding to the order.

Short-Term Shares

Displays the share quantity for short-term capital gains calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Status

Displays the status of the transaction.

Stock Dividend Shares

Displays the share quantity for open trades on the Order Processing File for funds that have experienced a stock split. All trades that are open at the time of the stock split are adjusted accordingly. In the case of a 2-for-1 stock split, a trade for 150.000 shares would be increased by 150.000 shares. The increased number of shares is displayed in this field.

Trade NAV

Displays the net asset value dollar amount of the trade. This dollar amount equals the total number of shares in the trade multiplied by the net asset value (NAV) as of the trade date.

Tran Code/Suffix

Displays the transaction code and suffix. The transaction code and suffix define the specific transaction type for the transaction.

Transaction

Displays the description of the transaction.

Trade

Displays the trade date that the operator assigned to the transaction. This date is the effective date of the transaction and may or may not be equal to the confirmation date. For financial transactions, this is the date used to determine the share price on the day the transaction was effective.

Pending Trades

Pending Trades

Account

Displays the shareholder's account number, as identified by the fund company.

Gross Dollars

Displays the total dollar amount of the transaction.

Net Amount

Displays the dollar amount of the transaction less commission.

Return to Account List

Returns to the Account List window.

Shares

Displays the number of shares involved in the transaction.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Trade Description

Displays a description of the transaction.

Trade Date

Displays the date on which the transaction was priced.

Account Summary by Rep/Advisor

Account Summary by Rep/Advisor

% of Balance

Displays the percentage of the representative/advisor's total managed balance represented by this fund.

Dealer Number

This number identifies the dealer associated with the representative or advisor.

Fund

Displays the fund number.

Balance

Displays the combined dollar value of all account(s).

Number of Accounts

Displays the number of fund accounts managed by the representative/advisor.

Rep/Advisor

This number uniquely identifies the representative/advisor.

Shares

Displays the combined number of shares corresponding to the account(s).

Rights of Accumulation

Rights of Accumulation

Account

Displays the shareholder's account number, as identified by the fund company.

Account List

Displays a scroll box of account numbers associated with a fund.

Rights of Accumulation Number

Displays the rights of accumulation (ROA) number. An ROA number links shareholder accounts to provide purchase discount pricing and for group reporting purposes.

Fund

Displays the information for a fund containing accounts associated with the rights of accumulation group number.

Group Value Amount

Displays the total value of all mutual fund accounts associated with the rights of accumulation group number.

Net ROA Amount

Displays the total dollar value of all cumulative shares on which a commission has been paid.

Open Accounts

Displays the total number of open accounts linked for rights of accumulation.

Relationship

Displays one of the following values:

- Cumulative: Indicates that commissions have been paid on 100% of the total valuation of the accounts in the rights of accumulation account group.
- Associated: Indicates that commissions have been paid on less than 100% of the total valuation of the accounts in the rights of accumulation account group.

Return to Menu

Returns to the Management Company Menu.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Total Accounts

Displays the total number of accounts linked for rights of accumulation.

Valuation

Displays the total value of all accounts in the fund associated with the rights of accumulation group number.

Systematic Agreements

Systematic Agreements

Account

Displays the shareholder's account number, as identified by the fund company.

Check

Displays the dollar amount of the systematic agreement.

Confirm Frequency

Displays how often statements are sent to confirm systematic purchases into the account.

Fiduciary Purchase Type

Displays the specified purchase contributor for all systematic purchases into a fiduciary account. The contributors are:

- employee = employee contribution
- employer = employer contribution

Month — Processed — Contribution Year

Displays **Y** (yes), **N** (no), or **D** (defer) for each month of the year, indicating whether the account is set up for monthly purchases into the account.

Processing Date(s)

Displays the day(s) of the month on which a systematic agreement will be processed.

Return to Menu

Returns to the Management Company Menu.

Start Date

Displays the month, date, and year on which the systematic agreement was started.

Stop Date

Displays the day, month, and year on which the systematic agreement will end.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Systematic Exchange

Systematic Exchange

Account

Displays the shareholder's account number, as identified by the fund company.

Deduct Fee

Displays "Yes" if a fee is charged for the exchange. Displays "No" if a no fee is charged.

Discount Category

Displays the price break a shareholder will receive on new shares purchased.

Established Date

Displays the date on which the systematic exchange plan was established.

Exchange Option

Displays the type of exchange. The exchange may be:

- dollar amount
- rate
- share count
- declining balance
- life expectancy float
- life expectancy fixed

Exchange To Account

Displays the account number to which the exchange will be processed.

Exchange To Fund

Displays the fund information to which the exchange will be processed.

Exchange Value

Displays the amount of the exchange. This amount may be displayed as a dollar amount, percent, share amount, or declining balance amount, depending on the exchange option.

Fiduciary Redemption Type

Displays the specified purchase contributor for all exchange relationships from a non-fiduciary account to a fiduciary account. The purchase contributor may be:

- employee
- employer
- not applicable

Month — Processed — Contribution Year

Displays "Yes," "No," or "Defer" for each month of the year, indicating whether the account is set up for monthly exchanges out of the account.

Payment Type

Displays the type of payment for a CDSC fund. Payment may be:

- gross
- net
- no sales charge

Processing Date(s)

Displays the day of the month on which the exchange will be processed.

Return to Menu

Returns to the Management Company Menu.

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Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax
identification number is either a Social Security Number or an employer
identification number.

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Vision

**Vision Mutual Fund Gateway®
External Fund Technical Guide**

Transactions

December 10, 1999

DST
S Y S T E M S

Contents

Chapter 1:

Transaction Function Descriptions

Overview

This chapter provides a general overview of the transaction types available through the Vision Mutual Fund Gateway (Web site) interface. For detailed information about connectivity and security, refer to chapters 1, 2, and 3 of the Inquiry External Fund Technical Manual.

The following transaction types are currently available through Vision:

- subsequent purchase transactions into an existing account through ACH (with pre-established bank instructions)
- redemptions through ACH (with pre-established bank instructions) or check to the address of record
- exchanges between existing accounts within the same fund family or from existing accounts into new accounts within the same fund family

Each transactions type is a fund management company level option. In addition, each operator ID must be coded for each transaction type before access is allowed. Transaction capability can be turned on or off at the Vision ID level. This gives the fund considerable flexibility, because individual transaction types can be supported through Vision, but only authorized for specific operators.

Transaction Options

Purchase (ACH)

The purchase function is only available with Automated Clearinghouse (ACH) settlement. The purchase function enables purchases of additional shares into an existing account through the movement of money from a shareholders bank account to an existing mutual fund account. The operator simply enters the dollar amount of the subsequent investment and verifies the amount when prompted. Once verified, the transaction is confirmed and a transaction reference number is provided for follow-up purposes, if needed. Purchase transactions for existing accounts (subsequent purchases) are only supported if the shareholder has sufficient bank information.

Note: All of the transaction functions, including purchase, are displayed on the Shareholder Account Information window.

TA2000 uses many edits to determine the eligibility of an account for a transaction type. An "edit" is a process to verify certain information before proceeding with the transaction. Some of the guidelines that should be followed by non-TA2000 include:

- The ACH account option must be activated.

- Transactions are allowed only on accounts with an NSCC matrix level of 0 (non-networked), unless overridden by a fund.

- No trades will be processed on accounts with stop mail, stop purchase, stop transfer, house account, or escheatment account status.

If there are any pending transactions (transactions that have not gone through the nightly cycle and/or been posted to a shareholder's account) a "pending transaction" link appears on the initial purchase window. The pending transaction may have been submitted through Vision or any other method available to an intermediary. The operator can review the pending transaction before submitting the new transaction.

Redemption - Check or ACH

The redemption function is available for both check (to address of record) and ACH settlement. The redemption function makes it possible to sell shares and deposit the proceeds in the shareholder's bank account, or mail them to the address of record. If an account has existing ACH instructions, there are two settlement options (ACH or check) to choose from. If an account does not have ACH instructions, the option will not appear and check settlement will be the default. Once verified and confirmed, a reference number for follow-up is provided.

For informational purposes only, the TA2000 system uses many edits to determine the eligibility of an account for a transaction type. Some of the guidelines that should be followed by non-TA2000 include:

- An account must be non-fiduciary.

- An account must be NSCC matrix level 0 (non-networked), unless overridden by the fund.

- The ACH account option must be activated to settle redemption proceeds via ACH.

- No redemptions are allowed in accounts with address of record changes within a fund specified period.

- No trades will be processed on accounts with a stop mail, stop transfer, house account, or escheatment account status.

- Shares recently purchased may not be available for redemptions. For most DST clients, these "uncollected shares" cannot be redeemed for 15 days after the purchase date.

Exchange Transactions

The exchange function enables the movement of dollars or shares to an existing or new account. Full or partial exchanges are allowed. The "to" funds are defined

in a drop-down list based upon the "from" fund/account. Exchanges submitted prior to the funds daily cut-off time will be as of that day's business. Once verified and confirmed, a reference number is displayed for follow-up if necessary. If the exchange is to a new account, an account number will be provided during the Internet session and displayed on the confirmation page.

Exchange to Existing Account

An exchange to existing account is the movement of money from one fund to another fund in previously established accounts within the same fund family. Edits should be performed to assure that the "to" and "from" accounts have the same legal ownership, shareholder registration, and that exchanges are not taking place between different types of accounts (fiduciary to non-fiduciary).

Exchange to New Account

An exchange to new account is the movement of money from a previously established account in one fund to a new account in another fund within the same fund family. Establishing the new account entails copying all of the registration and bank information from the "from" account.

TA2000 uses edits to determine eligibility of an account for a transaction type. Some of the guidelines that should be followed by non-TA2000 include:

- An account must be NSCC matrix level 0 (non-networked), unless overridden by the fund.
- The exchange account option must be activated.
- No trades will be processed on accounts with a stop mail, stop transfer, house account, or escheatment account status.
- 'From' and existing 'to' social security (SSN)/tax ID (TIN) must match.
- 'From' and existing 'to' bank account must match.
- 'From' and existing 'to' registration must match.

Chapter 2:

Message Definitions

The following chapter defines each transaction type available in Vision. Data field descriptions, requirements, and options are outlined in this chapter.

Key Descriptions

The following table defines key fields and terms outlined in this chapter.

Field Name/Term	Description
Transaction Fixed Request Data	Fixed length request data.
Transaction Fixed Response Data	Fixed length response data.
Transaction Variable Repeatable Response Data	Variable length response data, repeatable based on occurrences.
Field Name	Indicates the name of the field.
Field Type	Indicates whether the field is alpha, numeric, or character format. All data is in EBCDIC or ASCII. ALPHA -Values are A - Z, a - z. Values are left justified and the padding is spaces. EBCDIC NUM – Values are 0-9 in Zone Decimal Format and padded with zeros. All decimal points are implied. These values are right justified. Example: The positive account balance (13.2) value of $1,289.23 is sent in hexadecimal as 'F0F0F0F0F0F0F0F0F0F0F1F2F8F9F2F3' or 'F0F0F0F0F0F0F0F0F0F0F1F2F8F9F2C3'. If the value is negative, it is sent as 'F0F0F0F0F0F0F0F0F0F0FFF8F9F2D3'. CHAR -Values are A - Z, a- z, 0 - 9,special characters. Values are left justified and the padding is spaces.
Mandatory	Indicates the field is mandatory. **Mandatory** is defined as required valid data.
Optional	Indicates the field is optional. **Optional** is defined as data that is not required. If the optional field will be supported, valid data must be entered. If the optional field will not be

Field Name/Term	Description
	supported, *low values* or *spaces* will be used to indicate *not available*.
Values	Indicates the available field values.
Low Values	Hexadecimal '00' to be sent for numeric values only.
Spaces	Spaces to be sent for character text values only.
Description	Provides a brief description of the field.

Error Processing

Included at the end of each message definition is a table of error codes and corresponding error messages. By using these standard error codes, messages will be consistent for the Vision product between all fund companies. These error codes are standard and therefore generic. It is recommended that fund companies keep a log of the errors that occur on their system, including specific error details to be used for problem research.

When an error occurs on a fund company's system, the following processing should occur:

- The Return Code field in the header should be set to "0010".
- The Error Code field in the header should be set to the appropriate error code as detailed at the end of each message definition.

Vision Header

Required

The Vision header record is sent at the beginning of the Request data stream and will be returned at the beginning of the Response data stream. For example, with Account History, the Vision Header + Account History Request will be sent to the fund company. On the return from the fund company, the Vision Header + Account History Response will be returned. When the fund company returns the header information the following fields need to be updated:

- Packet Length
- Data Length
- Return Code
- Error Code (only if error occurs)
- Error Data (optional)

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Project ID	Char 4	M		Project identifier used to identify the layout. Assigned by DST.

Columns	Field Name	Field Type	M/O	Values	Description
5-7	Header Version	Num 3		Send spaces or null values.	Version of Header. For future use.
8-17	Packet Length	Num 10	M		Total length of data stream including the header
18-20	Data Version	Num 3		Send spaces or null values.	Version of the Data. For future use.
21-30	Data Length	Num 10	M		Length of data area, not including header (0 if no data).
31-47	Transaction ID	Char 17	M		Transaction identifier. For example, PURACH@VISION. This format is *not* required. If an alternate transaction ID format is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.
48-57	Source System ID	Char 10		Send spaces.	Indicates the source of the message. This value is used for information purposes. DST will assign these values to the message originators. For future use.
58-67	Source Tag	Num 10	M	Operator defined.	This field can be used by the source application to attach an "identification" tag to individual transactions. This value will be returned in the response header.
68-77	Operator ID	Char 10	M	Vision or External Fund ID.	The Operator ID (Vision) used to log on.
78-85	Password	Char 8	M	Send spaces.	
86-89	Return Code	Num 4	M	0000-Normal 0010-Error	Return Code.
90-97	Error Code	Char 8	O		An error code supplied by the fund that can be used as a reference if the Vision operator calls the fund.
98-337	Filler	Char 240		Send spaces.	For future use.

Purchase (ACH)

Example on page 81

Optional

This facility enables the processing of fiduciary and non-fiduciary purchases to existing accounts by Automated Clearing House (ACH).

Transaction ID: PURACH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34-48	Trade Amount	Num 15	M	13.2	Dollar amount of the transaction.
49	Fiduciary Year Code	Alpha 1	M	C= Current P= Previous	A value of blank indicates a non-fiduciary account. This information will only be displayed on the Vision Web site between January 1 and the IRS tax filing deadline.
50	Process Request Code	Alpha 1	M	V = Verify C = Confirm	

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-24	Bank Account Number	Char 17	M		Holds the bank account number of the shareholder's bank. This account is the one to which funds are wired in the case of an expedited redemption or from which pre-authorized check

C lumns	Field Nam	Fi ld Type	M/O	Values	D scripti n
					payments are drawn.
25-37	Maximum Amount	Num 13	M	11.2	The maximum amount allowed for ACH purchases. This amount can be listed by trade or by date. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
38-50	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for ACH purchases. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
51-53	Occurrences	Num 3	M	000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Alpha 4	M	PRCH	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same dollar amount or share amount and transaction type on the pending trades file.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	This warning will be sent when the current time is greater than the cutoff time.

Error Messages

Error Code	Error Message	Description
PURH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error Message	Description
PURH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button to return to the previous page.	Files unavailable for read access due to system updates or file outages.
PURH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
PURH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Redemption (Check)

Example on page 84

Optional

This facility enables the processing of redemptions in check form from non-fiduciary mutual fund accounts.

Transaction ID: REDCHECK@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.

C lumns	Field Name	Fi ld Typ	M/O	Valu s	D scripti n
34	Payment Type	Alpha 1	M	A = ACH C = Check	Indicates how the payment will be allocated. For redemptions by check, this field will always be "C."
35-49	Trade Amount	Num 15	O	13.2	Dollar amount of the transaction
50-64	Trade Shares	Num 15	O	11.4	Share amount of the transaction
65	Redeem Full	Alpha 1	M	Y/N	Indicates if this transaction is a full redemption.
66	Payment Code	Alpha 1	M	G = Gross N = Net	Indicates how the sales charge will be taken from the shareowner.
67	Process Request Code	Alpha 1	M	V = Verify C = Confirm	

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-24	Filler	Char 17	M	Send spaces.	For future use.
25-37	Maximum Amount	Num 13	M	11.2	The maximum amount allowed for Check Redemptions. This amount can be listed by either trade or date. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
38-50	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for Check Redemptions. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
51-53	Occurrences	Num 3	M	000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Typ	M/O	Values	Description
1-4	Warning Location Code	Char 4	M	RDMP	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same trade date, dollar amount and transaction type.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	
00000006	Redemption amount will be reduced by amount of escrow shares.	
00000007	Outstanding orders exist for this account.	Informational message that indicates that there are Confirmed Purchases or Confirmed Redemption orders outstanding on this account.

Error Messages

Error Code	Error Message	Description
RDMP0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
RDMP0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button to return to the previous page.	Files unavailable for read access due to system updates or file outages.
RDMP0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
RDMP0004	The Redemption request exceeds the collected share balance and would require the liquidation of uncollected shares. Redemptions must only contain shares that are available for redemption. Please click	Redemption shares are greater than available collected shares. This error is returned when a total redemption is requested.

Error Code	Error Message	Description
	the **Back** button to return to the previous page.	
RDMP0005	The account does not have enough collected shares to complete the requested transaction. Please click the **Back** button to return to the previous page.	Redemption shares are greater than available collected shares. This error is returned when a partial redemption is requested.
RDMP0006	This account has a pending "All Shares" transaction. Additional Redemptions are not permitted until this transaction has been processed. Please click the **Back** button to return to the previous page.	Account has an all shares redemption waiting to be processed.
RDMP0007	The Redemption amount exceeds the available account balance. See the Shareholder Account Information page for details. Please click the **Back** button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0008	The transaction amount requested contains escrow shares. Redemption must only contain shares that are available for redemption. Please click the **Back** button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0009	The transaction amount requested contains certified shares. Redemptions must only contain shares that are available redemption. Please click the **Back** button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0010	Redemptions by check are not allowed on accounts with recent (defined by the fund) registration changes. Please click the **Back** button to return to the previous page.	Redemption is not allowed on shareowner registrations that have changed within a certain time frame.
RDMP0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Redemption (ACH)

Example on page 84

Optional

This facility enables the processing of ACH redemptions from non-fiduciary mutual fund accounts.

Transaction ID: REDACH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34	Payment Type	Alpha 1	M	A = ACH C = Check	Indicates how the payment will be allocated. For redemptions paid by ACH, this field is always "A".
35-49	Trade Amount	Num 15	O	13.2	Dollar amount of the transaction.
50-64	Trade Shares	Num 15	O	11.4	Share amount of the transaction.
65	Redeem Full	Alpha 1	M	Y/N	Indicates if this transaction is a full redemption.
66	Payment Code	Alpha 1	M	G = Gross N = Net	Indicates how the sales charge will be taken from the shareowner.
67	Process Request Code	Alpha 1	M	V = Verify C = Confirm	

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-24	Bank Account Number	Char 17	M		Holds the bank account number of the shareholder's bank. This account is the one to which funds are wired in the case of an expedited redemption or from which pre-authorized check payments are drawn.
25-37	Maximum Amount	Num 13	M	11.2	The maximum amount allowed for ACH redemptions. This value is not displayed, but is used by DST to compare to the requested

Columns	Field Name	Field Typ	M/O	Values	Description
					amount. If necessary, an error will be displayed.
38-50	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for ACH redemptions. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
51-53	Occurrences	Num 3	M	000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Alpha 4	M	RDMP	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same dollar amount or share amount and transaction type on the pending trades file. This error is returned when a total redemption is requested.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	This warning will be sent when the current time is greater than the cutoff time. This error is returned when a partial redemption is requested.
00000007	Outstanding orders exist for this account.	Informational message that indicates that there are confirmed purchases or confirmed redemption orders outstanding on this account.

Error Messages

Error Code	Error Message	Description
RDMP0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error Message	Description
RDMP0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
RDMP0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
RDMP0004	The Redemption request exceeds the collected share balance and would require the liquidation of uncollected shares. Redemptions must only contain shares that are available for redemption. Please click the **Back** button to return to the previous page.	Redemption shares are greater than available collected shares.
RDMP0005	The account does not have enough collected shares to complete the requested transaction. Please click the **Back** button to return to the previous page.	Redemption shares are greater than available collected shares.
RDMP0006	This account has a pending "All Shares" transaction. Additional Redemptions are not permitted until this transaction has been processed. Please click the **Back** button to return to the previous page.	Account has an all shares redemption waiting to be processed.
RDMP0007	The Redemption amount exceeds the available account balance. See the Shareholder Account Information page for details. Please click the **Back** button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0008	The transaction amount requested contains escrow shares. Redemption must only contain shares that are available for redemption. Please click the **Back**	Redemption shares are greater than available shares.

Error Code	Error Message	Description
	button to return to the previous page.	
RDMP0009	The transaction amount requested contains certified shares. Redemptions must only contain shares that are available redemption. Please click the **Back** button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Exchange (New)

Example on page 88

Optional

This facility enables the processing of an exchange from a fiduciary or a non-fiduciary mutual fund account into a new mutual fund account.
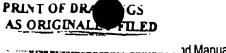
Transaction ID: EXCHNEW@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	"From" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
21-33	"From" Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34	Process Request Code	Alpha 1	M	V = Verify C = Confirm	
35-47	"To" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character

C lumns	Field Name	Fi ld Typ	M/O	Valu s	Description
					CUSIP, a one-character check digit (0), and a one-character test code (P).
48-67	"To" Account Number	Char 20	O		Unique identifier for a shareowner account within a mutual fund. When exchanging to a new account, this field is always spaces.
68-82	Trade Amount	Char 15	O	13.2	Dollar amount of the transaction.
83-97	Share Count	Char 15	O	11.4	Share amount of the transaction.
98	Full Exchange Code	Alpha 1	O	Y/N	Indicates if this transaction is a full exchange.
99	Filler	Char 1	O	Send spaces.	For future use.
100	New ROA Linking	Alpha 1	M	Y/N	Indicates whether the fund allows automatic linking of new accounts to new ROA numbers. This field is populated from "Allow Rights of Accumulation Linking to New Accounts" in MGMTINFO@VISION.
101	Existing ROA Linking	Alpha 1	M	Y/N	Indicates whether the fund allows automatic linking of existing accounts to new ROA numbers. This field is populated from "Allow Rights of Accumulation Linking to Existing Accounts" in MGMTINFO@VISION.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-20	Return "To" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
21-40	Return "To" Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
41-53	Maximum	Num 13	M	11.2	The maximum amount allowed for

C lumns	Field Name	Field Typ	M/O	Values	Description
	Amount				exchanges. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
54-66	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for exchanges. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
67-79	Filler	Char 13	M	Send spaces.	For future use.
80-82	Occurrences	Num 3	M	000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Alpha 4	M	EXCH	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same dollar amount or share amount and transaction type on the pending trades file.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	This warning will be sent when the current time is greater than the cutoff time.
00000006	Redemption amount will be reduced by amount of escrow shares.	This warning will be sent when a full exchange is being done and the from account has escrow shares attached.
00000007	Outstanding orders exist for this account.	Informational message that indicates that there are confirmed purchases or confirmed redemption orders outstanding on this account.
00000015	Exchange transaction may be assessed a fee.	Informational message that indicates that an exchange from a rear-end load fund may be assessed an exchange fee.

Error Messages

Error Code	Error Message	Description
EXCH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
EXCH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button to return to the previous page.	Files unavailable for read access due to system updates or file outages.
EXCH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
EXCH0004	The Redemption amount requested exceeds the available account balance. See the Shareholder Account Information page for details. Please click the **Back** button to return to the previous page.	Exchange redemption amount exceeds the account balance.
EXCH0005	The account does not have enough collected shares to complete the requested transaction. Please click the **Back** button to return to the previous page.	Insufficient collected shares for the exchange redemption.
EXCH0006	The transaction amount requested contains certified shares. Redemptions must only contain shares that are available for redemption. Please click the **Back** button to return to the previous page.	Exchange redemption amount is greater than the available shares,
EXCH0007	This account has a pending "All Shares" transaction.	Account has an all shares redemption waiting to be processed.

Error Cod	Error Message	Description
	Additional Redemptions are not permitted until this transaction has been processed. Please click the **Back** button to return to the previous page.	
EXCH0012	Account exists in the "Exchange To" fund with the same Account Number as the "Exchange From" account. Please click the **Back** button to return to the previous page.	
EXCH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Exchange (Existing)

Example on page 88

Optional

This facility enables the processing of exchanges from fiduciary and non-fiduciary mutual fund accounts into other existing mutual fund accounts.

Transaction ID: EXCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	"From" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	"From" Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34	Process Request Code	Alpha 1	M	V = Verify C = Confirm	

Columns	Fi ld Nam	Fi ld Type	M/O	Values	Descripti n
35-47	"To" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
48-67	"To" Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
68-82	Trade Amount	Char 15	O	13.2	Dollar amount of the transaction.
83-97	Share Count	Char 15	O	11.4	Share amount of the transaction.
98	Full Exchange Code	Alpha 1	O	Y / N	Indicates if this transaction is a full exchange.
99-101	Filler	Char 3	O	Send spaces.	For future use.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-20	Return "To" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
21-40	Return To Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
41-53	Maximum Amount	Num 13	M	11.2	The maximum amount allowed for exchanges. This amount can be listed by either trade or date. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
54-66	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for exchanges. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.

Columns	Field Nam	Field Type	M/O	Valu s	Description
68-79	Filler	Char 13		Send spaces.	For future use.
80-82	Occurrences	Num 3		000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Alpha 4	M	EXCH	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same dollar amount or share amount and transaction type on the pending trades file.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	This warning will be sent when the current time is greater than the cutoff time.
00000006	Redemption amount will be reduced by amount of escrow shares.	This warning will be sent when a full exchange is being done and the from account has escrow shares attached.
00000007	Outstanding orders exist for this account.	Informational message that indicates that there are confirmed purchases or confirmed redemption orders outstanding on this account.
00000015	Exchange transaction may be assessed a fee.	Informational message that indicates that an exchange from a rear-end load fund maybe assessed an exchange fee.

Error Messages

Error Code	Error Message	Description
EXCH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Err r Cod	Err r Message	Description
EXCH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button to return to the previous page.	Files unavailable for read access due to system updates or file outages.
EXCH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
EXCH0004	The Redemption amount requested exceeds the available account balance. See the Shareholder Account Information page for details. Please click the **Back** button to return to the previous page.	Exchange redemption amount exceeds the account balance.
EXCH0005	The account does not have enough collected shares to complete the requested transaction. Please click the **Back** button to return to the previous page.	Insufficient collected shares for the exchange redemption.
EXCH0006	The transaction amount requested contains certified shares. Redemptions must only contain shares that are available for redemption. Please click the **Back** button to return to the previous page.	Exchange redemption amount is greater than the available shares.
EXCH0007	This account has a pending "All Shares" transaction. Additional Redemptions are not permitted until this transaction has been processed. Please click the **Back** button to return to the previous page.	Account has an all shares redemption waiting to be processed.
EXCH0008	Exchanges are not allowed when the "Exchange To" account registration doesn't match the "Exchange From" account registration. Please click the **Back** button to return to the previous page.	Registration Lines of "from" and "to" accounts do not match.

Error Code	Error Message	Description
EXCH0009	Exchanges are not allowed between accounts that do not have matching account types.	Account types of "from" and "to" accounts do not match.
EXCH0010	The exchange could not be processed because the SSN/Tax Id on the "Exchange From" account and the "Exchange To" account do not match. Please click the **Back** button to return to the previous page.	Social Security numbers of "from" and "to" accounts do not match.
EXCH0011	Exchanges are not allowed between accounts that do not have matching Bank Routing Numbers.	Bank routing numbers of "from" and "to" accounts do not match.
EXCH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Chapter 3:
Field Descriptions and Definitions

Purchase

Purchase window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.
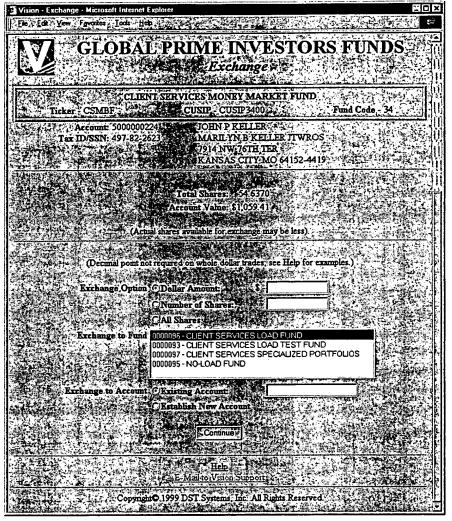
Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and non-issued shares by the net asset value.

Dollar Amount

Enter the dollar amount of the purchase. A decimal point is not required on whole dollar amounts.

Purchase Verification

Purchase Verification window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Purchase Verification Detail

Displays the details associated with the purchase transaction for verification. The details include dollar amount of the purchase, fund, and account. The purchase transaction can be confirmed or canceled on this page.

Return to Shareholder Account Information

Returns to the main Shareholder Account Information window.

Purchase Confirmation

Purchase Confirmation window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Purchase Confirmation

Confirms the details associated with the purchase transaction. The details include dollar amount of the purchase, fund, and account. The fund's phone number and

a trade reference number is also provided in the confirmation. At this time, the purchase cannot be modified or deleted through Vision.

Return to the Shareholder Account Information

Links back to the main Shareholder Account Information window.

Redemption

Redemption window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.
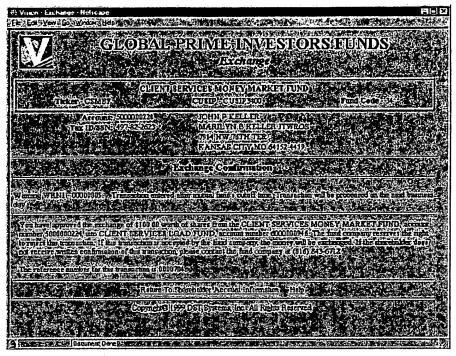
Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and non-issued shares by the net asset value.

Dollar Amount

Enter the dollar amount of the redemption. Enter whole dollar amounts only. A decimal point is not necessary. This field is valid only if the Dollar Amount button is selected.

Number of Shares

Enter the number of whole shares to be redeemed. This field is valid only if the Number of Shares button is selected.

All Shares

Enables all shares to be redeemed from the account.

Gross (displayed only if a CDSC account)

When selected, indicates that CDSC fees will be subtracted from the dollar/share amount redeemed. Remaining balanced will be received.

Net (displayed only if a CDSC account)

When selected, indicates that the CDSC fees will be added to the dollar/share amount redeemed.

By Check Mailed to the Above Address (displayed only if account contains bank account information)

When selected, indicates that a check for the redemption amount will be mailed to the address displayed at the top of the window.

By Electronic Deposit to the Bank Account of Record (radio button–displayed only if account contains bank account information)

When selected, indicates that the redemption amount will be automatically deposited to the bank account of record. (To review bank account information, select the Bank Instructions option from the Shareholder Account Information window.)

CDSC Hypothetical Calculation (displayed only if the account is a CDSC account)

Displays hypothetical information on contingent deferred sales charge (CDSC) fees for a redemption from the account. (Displayed fees are for informational purposes only. This window does not initiate an actual redemption transaction.)

Redemption Verification

Redemption Verification window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Redemption Verification Detail

Displays the details associated with the redemption transaction for verification. The details include share or dollar amount of the redemption, fund and account. The redemption transaction can be confirmed or canceled on this page.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

Redemption Confirmation

Redemption Confirmation window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Redemption Confirmation Detail

Confirms the details associated with the redemption transaction. The details include share and dollar amount of the redemption, fund, and account. The fund's phone number and a trade reference number is also provided in the confirmation. The redemption cannot be modified or deleted through Vision.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

Exchange

Exchange window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and non-issued shares by the net asset value.

Dollar Amount

Enter the dollar amount of the exchange. Decimal point is not required on whole dollar amounts. This field is valid only if the Dollar Amount radio button is selected.

Number of Shares

Enter the number of whole shares to be exchanged. This field is valid only if the Number of Shares radio button is selected.

All Shares

Enables all shares to be exchanged from the account.

Exchange to Fund

Select the fund into which the dollar amount/shares will be exchanged.

Existing Account

Enter the account number into which the dollar amount/shares will be exchanged. This field is valid only if the Existing Account radio button is selected.

Establish New Account

Enables shares to be exchanged into a new account. Registration information from the existing account will be used to establish the new account.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

Exchange Verification

Exchange Verification window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Exchange Verification Detail

Displays the details associated with the exchange transaction for verification. The details include share or dollar amount of the exchange, the from fund and account and the to fund and account. The exchange transaction can be confirmed or canceled on this page.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

Exchange Confirmation

Exchange Confirmation window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Exchange Confirmation Detail

Confirms the details associated with the exchange transaction. The details include share or dollar amount of the exchange, the from fund and account and the to fund and account. The fund's phone number and a trade reference number is also provided in the confirmation. At this time, the exchange cannot be modified or deleted through Vision.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

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Vision Mutual Fund Gateway®
External Fund Technical Guide

New Account Establishment

December 10, 1999

DST
S Y S T E M S

Contents

Chapter 1:

New Account Establishment Descriptions

Overview

This chapter provides a general overview of the Vision Mutual Fund Gateway new account establishment interface. For detailed information about connectivity and security please refer to chapters 1, 2, and 3 of the Inquiry External Fund Technical Manual.

The Vision new account interface allows the financial intermediary to establish and settle a new account online in real time. New account establishment through Vision eliminates paper processing and requires no manual intervention by the fund.

New account establishment functionality is optional at the fund management company level. In addition, the operator ID must be coded for new account establishment capability before access is allowed. New account establishment capability can be turned on or off at the Vision ID level. Therefore, a high degree of flexibility is afforded the fund as new account establishment may be supported through Vision, but only authorized for specific operators.

New Account Establishment Options

Vision offers four new account establishment options:

1. **Establish the new account electronically and settle the initial purchase through ACH**—The financial intermediary completes an application online, establishes the new account at the fund, and settles the account electronically via an on-demand ACH (Automated Clearinghouse) from the shareowner's checking account. The ACH purchase for new accounts will be processed like any other ACH transaction. The trade date for settlement of the account will be determined by the fund's ACH processing rules. The intermediary may also print a copy of the application for the customer's signature.

2. **Establish the new account electronically and waive the initial investment**—The financial intermediary completes an application online, establishes the new account at the fund, waives the initial investment and settles the account electronically via ACH automatic investment. The trade date for settlement of the account will be determined by the fund's ACH processing rules. The intermediary may also print a copy of the application for the customer's signature.

3. **Establish the new account electronically and settle the initial purchase by check**—The financial intermediary completes an application online, establishes the new account at the fund, and settles the account by check. The broker/dealer attaches the shareholder's check to a printed remittance form and mails it to the fund.

4. **Mail the new account application to the fund and settle the initial purchase by check**—The financial intermediary completes an application online and prints the application form. The shareholder signs the application and pays the initial investment by check. The broker/dealer attaches the shareholder's check to the application and mails it to the fund. The account will not be established until the application is processed by the transfer agency.

Registration Types

The following registration types may be established through the Vision new account interface:

- Individual Male
- Individual Female
- Joint Tenants
- Tenants in Entirety
- Tenants in Common
- Uniform Gift to Minor
- Uniform Transfer to Minor
- Traditional IRA
- Roth Contributory IRA

Chapter 2:

Fund-Specific Content

The Vision new account establishment application has two areas where the fund can insert its own management-company-specific text:

- The Account Application

- The IRA Fee Information on the Enter Investment Amount window

Account Application

- **Introduction**—The fund company can insert its own legal text at the beginning of the Account Application/Adoption Agreement. There is no standard text. \

- **Conclusion**—The fund company can insert its own legal text at the end of the Account Application or use standard Vision legal text (see page 8).

- **Adoption and Custodian Acceptance Agreements**—If the fund allows establishment of fiduciary accounts through Vision, the Account Application must include the fund's Adoption and Custodian Acceptance Agreements. There is no standard text for this section.

There is no size limit on the content for each section. The fund-specific text will be established at the management company level (separate text at the fund level is not available). The fund's Account Application text, in html format, should be mailed to DST on a diskette, or attached to an e-mail and sent to dstvision@dstsystems.com

If the fund prefers to use the standard Vision legal text for the conclusion of the Application, check **Yes** for the **Standard Application Text and Legal Content** box on the Management Options worksheet in Chapter 5.

Standard Application Legal Text

You must complete this section in order to establish your account. Sign exactly as printed on registration. Print titles below if signing on behalf of a business or trust. For joint registration, all must sign.

- I am of legal age, have read the fund prospectus(es) and agree to its terms.

- If I have not declined the automated transaction privileges, I agree to indemnify and hold harmless *<Management Company Name Goes Here>*, and its subsidiaries including *<Management Company Name Goes Here>* (the fund's service agent), collectively "*<Management Company Name Goes Here>*" and any fund that may be involved in transactions authorized by telephone or Internet against any claim, loss, expenses, or damage including reasonable fees of investigation and counsel in connection with any automated withdrawal effected on my account. Furthermore, *<Management Company Name Goes Here>* is authorized to act upon instruction received by Internet or telephone from any party that can provide my personal identification number in the case of transactions performed via the Internet or in the case of automated transactions performed by other means, any two of the following: 1) my account registration, 2) address of record, and/or 3) Social security number. Joint records will act on the instruction of any one tenant.

- I understand that the automated transaction privilege may be modified or terminated at any time. I also understand that all privileges and features selected in this application, including the automated transaction privilege, if I have not declined it, are subject to the conditions and provisions set forth herein and in the current prospectuses of the funds.

- I understand that if I elect to declare one or more beneficiaries, the account is subject to the *<Management Company Name Goes Here>* Rules Governing Transfer on Death Registration under the Missouri non-probate transfer laws.

- I understand that if *<Management Company Name Goes Here>* or any fund fails to follow the procedures outlined in the prospectus, it may be liable for any loses due to unauthorized or fraudulent instruction.

For corporations, trusts, or partnerships: We hereby certify that each of the persons listed below has been duly elected, is now legally holding the office set forth opposite his/her name, and has the authority to make this authorization.

If I am a U.S. citizen or resident alien, as indicated above, I certify under penalties of perjury that (1) my Social Security or tax identification number provided in this application is correct (or I am waiting for a number to be issued to me) and (2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding or (c) the IRS has notified me that I am no longer subject to backup withholding. (Please cross out item (2) (b) above if it does not apply to you.)

> *I am a non-resident alien, as indicated above, I certify, under penalty, that I am not a U.S. citizen or resident alien (or I am filing for foreign corporation, partnership, estate, or trust), and I am an exempt foreign person as defined under IRS regulations.*
>
> *The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.*
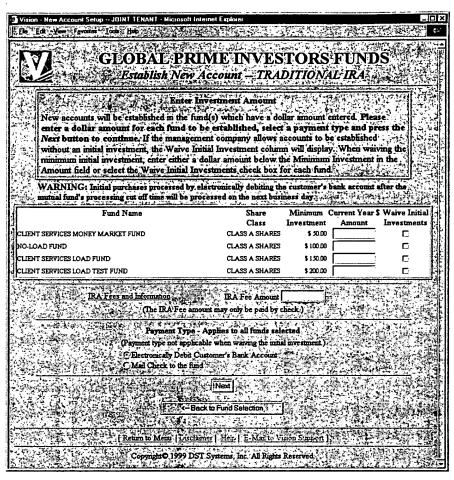
Standard Application Legal Text for Account Application

IRA Fees and Information

If the fund allows establishment of fiduciary accounts through Vision, IRA fees can be explained in a client-specific insert on the Enter Investment Amount window.

IRA fee information can either appear directly on the Enter Investment Amount window, or as a hyperlink to another page. In the example below, clicking the IRA Fees and Information hyperlink takes the operator to a Help window that includes information on how to calculate and pay IRA fees.

The fund's IRA fee text, in HTML format, should be mailed to DST on a diskette, or attached to an e-mail and sent to dstvision@dstsystems.com.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account — TRADITIONAL IRA

Enter Investment Amount

New accounts will be established in the fund(s) which have a dollar amount entered. Please enter a dollar amount for each fund to be established, select a payment type and press the *Next* button to continue. If the management company allows accounts to be established without an initial investment, the Waive Initial Investment column will display. When waiving the minimum initial investment, enter either a dollar amount below the Minimum Investment in the Amount field or select the Waive Initial Investments check box for each fund.

WARNING: Initial purchases processed by electronically debiting the customer's bank account after the mutual fund's processing cut off time will be processed on the next business day.

Fund Name	Share Class	Minimum Investment	Current Year $ Amount	Waive Initial Investments
CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	$ 50.00		☐
NO-LOAD FUND	CLASS A SHARES	$ 100.00		☐
CLIENT SERVICES LOAD FUND	CLASS A SHARES	$ 150.00		☐
CLIENT SERVICES LOAD TEST FUND	CLASS A SHARES	$ 200.00		☐

IRA Fees and Information   IRA Fee Amount [   ]
(The IRA Fee amount may only be paid by check.)

Payment Type - Applies to all funds selected
(Payment type not applicable when waiving the initial investment.)
○ Electronically Debit Customer's Bank Account
○ Mail Check to the fund

[Next]

[<- Back to Fund Selection]

[Return to Menu | Disclaimer | Help | E-Mail to Vision Support]

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Enter Investment Amount (Fiduciary Accounts)

Vision®
Establish New Account—Enter Investment Amount Help

IRA Fee Information

There is an annual $12 custodial fee per fund for Global Prime Investors. If you hold two or more accounts you will be charged a maximum of $24. If your aggregate Global Prime Investors IRA balance is $25,000 or more, the maximum custodial fee is $12. Annual custodial fees are assessed on a calendar year basis. If the annual custodial fee is not paid by seperate check, Investors Fiduciary Trust Company will automatically deduct the annual custodial fee from you account in the forth quarter.

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IRA Fee Information (Enter Investment Amount Help)

Chapter 3:

Processing and Account Options

The following chapter describes the available processing and account options when establishing a new account through Vision.

Automated Clearing House (ACH) Settlement of Initial Purchase

The initial investment can be settled automatically via an ACH from the shareowner's checking account. The ACH purchase for new accounts will be sent through the fund's bank and will process like the fund's other ACH purchases. The trade date for the settlement of the account will be determined by the fund's ACH processing rules.

Check Settlement of Initial Purchase

The initial investment can be settled with the shareholder's check. When the application has been completed, a message will display on the new account screen to prompt the broker/dealer to attach the shareholder's check to a printed remittance form and mail it to the fund to settle the initial purchase. The remittance form will allow the fund to match the shareholder's check to the electronically established new account.

Address Verification

The address entered through the Vision new account establishment process is verified against the U.S. Post Office Finalist address database. The system will display a modified address based on the Finalist edits. This address can be accepted or changed by using the browser's **Back** button. If an address is not recognized by this edit, the address entered will be displayed along with a warning message.

Select a Fund

This window lists funds available for establishment of new accounts through Vision, along with the fund's investment objective, share class, CUSIP number and ticker symbol.

Enter Investment Amount

This window lists the funds that have been selected for new account setup and displays the minimum initial investment. Establish a new account by entering an amount (for current or prior tax years if the account is a traditional IRA), or by

waiving the initial investment and settling the amount through automatic investment. The Enter Investment Amount window also displays payment options (check or ACH) and IRA fee amounts for fiduciary accounts. Multiple accounts can be established with the same registration during a single new account setup process.

Bank Instructions

Bank instructions can be established for the following scenarios:

- Funds from a shareholder's bank account to be debited for the initial purchase of shares in a mutual fund
- Dividends deposited directly into the shareholder's bank account
- Funds from a shareholder's bank account to be debited for the systematic purchase of shares in a mutual fund
- Systematic redemptions deposited directly into the shareholder's bank account
- Telephone redemptions deposited directly into the shareholder's bank account

Multiple shareholder bank account instructions can be established when setting up a new account through Vision.

Distribution Options

Distributions can be reinvested, paid by check, deposited directly to a bank account via Automated Clearing House (ACH), or reinvested to an existing account in another fund. The reinvestment and check options are automatically available and reinvestment is the default.

The fund can allow a shareholder to reinvest distributions to an existing account in another fund. This is known as **Automatic Reinvest Across Accounts**. The management company must establish eligible reinvestment funds. The DST options allow the fund to designate whether the receiving (**to**) fund shares are priced at NAV or offering price.

Automatic Investment Option

A shareholder's account can be established with the ability to automatically purchase more shares on a periodic basis via ACH.

Automatic Withdrawal Option

A shareholder's account can be established to automatically redeem shares from the account on a periodic basis. The redemption can be processed as a check or automatically deposited into a bank account via Automated Clearing House (ACH).

Letter of Intent (LOI)/Rights of Accumulation (ROA)

Fund companies may use Vision to link new accounts to new or existing ROAs and/or LOIs. If the fund activates Auto ROA, Vision will automatically assign ROA numbers to new accounts based on the fund's criteria.

Telephone Redemption

A shareholder's account can be established with the ability to process redemptions over the phone.

Telephone Exchange

A shareholder's account can be established with the ability to process exchanges over the phone.

Interested Party

Indicates whether or not a fund allows the interested party (additional mail) option to be established for a new account through Vision.

Suitability Form

The New Account Suitability form allows the operator to compile personal information about customers to ensure their financial backgrounds are compatible with their investment selections. This information is not retained by the fund.

Brokerage Application

The Brokerage Application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchase by a new customer, and complete the less detailed suitability form for subsequent purchases. This information is often used to establish a new account with the brokerage and is not retained by the fund.

Account Application Remittance Form

The New Account Remittance form will appear if the account is established electronically and the initial purchase will be settled by check. The remittance form will include shareowner account information, investment selections, and the new account numbers. The form should be printed and remitted to the fund company along with the shareowner's check.

New Account Fund Application

The New Account Fund Application allows the operator to print a copy of the completed application. The application includes the fund-specific text, registration information, investment selections, new account numbers, account options, and an area for the shareowner's signature and date.

Chapter 4:

Message Definitions

The following chapter defines each function and feature available through the Vision new account establishment process. Data field descriptions, requirements, and options are outlined in this chapter.

Key Descriptions

The following table defines key fields and terms outlined in this chapter.

Field Name/Term	Description
Transaction Fixed Request Data	Fixed length request data
Transaction Variable Repeatable Request data	Variable length request data, repeatable based on occurrences
Transaction Fixed Response Data	Fixed length response data
Transaction Variable Repeatable Response Data	Variable length response data, repeatable based on occurrences
Field Name	Indicates the name of the field
Field Type	Indicates whether the field is alpha, numeric, or character. All data is EBCDIC or ASCII. ALPHA –Values are A - Z, a - z. Values are left justified and the padding is spaces. EBCDIC NUM –Values are 0 - 9 in Zone decimal format and padded with zeroes. All decimal points are implied. These values are right justified. Example: The positive account balance (13.2) value of $1,289.23 is sent in hexadecimal as F0F0F0F0F0F0F0F0F0F0F1F2F8F9F2F3 or F0F0F0F0F0F0F0F0F0F0F1F2F8F9F2C3. If the value is negative, it is sent as F0F0F0F0F0F0F0F0F0F0FFF8F9F2D3. CHAR –Values are A - Z, a- z, 0 - 9, special characters. Values are left justified and the padding is spaces.
Mandatory	Indicates the field is mandatory. **Mandatory** is defined as required valid data.

Field Name/Term	Description
Optional	Indicates the field is optional. **Optional** is defined as data that is not required. If the optional field will be supported, valid data must be entered. If the optional field will not be supported, *low values* or *spaces* will be used to indicate *not available*.
Values	Indicates the available field values
Low Values	Hexadecimal "00"
Spaces	Spaces
Not Available	If an optional field will not be supported, the text Not Available will be displayed in the corresponding field.
Description	Provides a brief description of the field.
DST Only	Indicates that the field is for DST use only and either low values or spaces should be sent

Error Processing

Included at the end of each message definition is a table of error codes and corresponding error messages. By using these standard error codes, messages will be consistent for the Vision product between all fund companies. These error codes are standard and therefore generic. It is recommended that fund companies keep a log of the errors that occur on their system, including specific error details to be used for problem research.

When an error occurs on a fund company's system, the following processing should occur:

- The Return Code field in the header should be set to "0010".

- The Error Code field in the header should be set to the appropriate error code as detailed at the end of each message definition.

Vision Header

Required

The Vision header record is sent at the beginning of the Request data stream and will be returned at the beginning of the Response data stream. For example, with Account History, the Vision Header + Account History Request will be sent to the fund company. The fund would return the Vision Header + Account History Response will be returned. When the fund company returns the header information, the following fields need to be updated:

- Packet Length
- Data Length

- Return Code
- Error Code (only if error occurs)
- Error Data (optional)

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Project ID	Char 4	M		Project identifier used to identify the layout. Assigned by DST.
5-7	Header Version	Num 3		Send spaces or null values.	Version of header. This is for future use.
8-17	Packet Length	Num 10	M		Total length of data stream including the header.
18-20	Data Version	Num 3		Send spaces or null values.	Version of the data. This is for future use.
21-30	Data Length	Num 10	M		Length of data area, not including header (0 if no data)
31-47	Transaction ID	Char 17	M		Transaction identifier. Example: "ACCTHIST@VISION." This format is *not* required. If an alternate transaction ID format is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.
48-57	Source System ID	Char 10		Send spaces.	Indicates the source of the message. This value is used for information purposes. DST will assign these values to the message originators. This is for future use.
58-67	Source Tag	Num 10	M	Operator defined	This field can be used by the source application to attach an "identification" tag to individual transactions. This value will be returned in the response header.

C lumns	Field Nam	Field Type	M/O	Valu s	D scription
68-77	Operator ID	Char 10	M	Vision or External Fund ID	The Operator ID (Vision) used to log on.
78-85	Password	Char 8	M	Send spaces	
86-89	Return Code	Num 4	M	0000 – Normal 0010 – Error	Return Code
90-97	Error Code	Char 8	O		Error Code from the target system. This could be used as a reference if the Vision operator should call the fund.
98-337	Filler	Char 240		Send spaces.	For future use.

REGTYPE

Example on page 72

Required

For establishing new account types.

Transaction ID: REGTYPE@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Occurrences	Num 3	M	000 – 008	Identifies the number of times variable response data repeats.

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Transaction Variable Repeatable Response Data

Columns	Fi Id Name	Field Type	M/O	Values	Description
1-11	Registration Type Identification 2	Num 11	M		The second in a series of numbers assigned by the system and sent to fund in EDITSCRUB to identify the registration type selected.
12-22	Registration Type Identification 1	Num 11	M		The first in a series of numbers assigned by the system and sent to fund in EDITSCRUB to identify the registration type selected.
23-57	Registration Type Long Name	Char 35	M		The long name used to identify this registration type. These fields are displayed in Vision on the Select Registration Type window and can include any or all of the following: Individual Male Individual Female Joint Tenants Tenants in Entirety Tenants in Common Uniform Gift to Minor Uniform Transfer to Minor Traditional IRA Roth Contributory IRA
58-59	Account Type	Char 2	M	01 = Single 02 = Joint 03 = UGMA/ UTMA 04 = Fiduciary	A code used to determine the type of account being established in new account setup. Note: UGMA/UTMA will be determined by the state in which the donor resides.

Columns	Field Nam	Fi ld Type	M/O	Values	Descripti n
60-62	Maximum Number of Secondary Occurrences	Num 3	M	0-3	Determines the maximum number of secondary shareowners lines to display on the Enter Registration Information window. Joint Tenants=3 Tenants in Common=3 Tenants in Entirety=1 UGMA/UTMA=1
63	Date Required Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the Start Year field should be displayed on the Enter Registration Information window to enter start year of Roth IRA. Yes = Start Year field will display, and Registration Format Contribution Year will be populated. No = Start Year field will not display, and Registration Format Contribution Year will be spaces.

Error Messages

Error Code	Error Message	Description
REGT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
REGT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.

Error C d	Err r M ssage	D scription
REGT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Representative Information

Example on page 1

Required

Representative information validates the dealer/branch/representative information input on the Enter Representative Information window. Where applicable, default branch and representative name is returned to display on the application.

Transaction ID: REPINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.
9-17	Representative Number	Char 9	M		Number assigned by the fund to identify the representative.
18-52	Representative Name	Char 35	M		The full name of the fund group representative.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Dealer Branch	Char 10	O		Identifies the default dealer branch or pay office for use in establishing the new account.
11-45	Returned Representative Name	Char 35	O		The full name of the fund group representative returned when the Fund Group Representative Name provided in the request is not found or is different than the mainframe.

Columns	Fi ld Nam	Fi ld Type	M/O	Values	Descripti n
46	Business Day Code	Alpha 1	M	Y = Business Day N = Non Business Day	Indicates whether or not the current day is a business day. Used in determining the trade date for the initial purchase. Does not display.
47	Prior Year Valid Current Date	Alpha 1	M	Y = Yes N = No	Indicates that the current date falls within the January 1st through mid-April time frame, when contributions can be made for a prior year.

Error Messages

Error Code	Error Message	Description
REPI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
REPI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
REPI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
REPI0004	The Dealer Number specified is not correct. Please click the **Back** button on your browser to return to the previous window so that you can make the necessary correction.	Data or operator error.
REPI0005	The Representative (Rep) Number specified is not correct. Please click the **Back** button on your browser to return to the previous window so that you can make the necessary correction.	Operator error.
REPI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Registration Format

Example on page 79

Required

Registration Format formats the shareowner and joint applicant names according to the management company processing rules.

Transaction ID: EDITSCRB2@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.
9-11	State Code	Char 3	M		A two-character state abbreviation (plus one space) for the state in which the donor resides for a Uniform Gift/Transfer to Minors account registration. For example, Missouri would be "MO_."
12-14	UGMA/UTMA Age Count	Num 3	M		The age of the minor, based on the birth date entered in the Enter Registration Information window.
15-25	Registration Type Identification 2	Num 11	M		The second in a series of numbers assigned by the system that represents the unique identifier for a registration type. **Note:** Number may be negative or positive and is signed on mainframe side.
26-36	Registration Type Identification 1	Num 11	M		The first in a series of numbers assigned by the system that represents the unique identifier for a registration type. **Note:** Number may be negative or positive; signed on mainframe side.

Columns	Fi ld Nam	Fi ld Type	M/O	Valu s	D scription
37-40	Registration Format Contribution Year	Num 4	M	CCYY	The start year that will display in the registration when a Roth IRA is established. The date will be required if the Date Required Code in the Registration Type field is "Yes." If Date Required Code is "No," send spaces.
41-42	Account Type	Char 2	M	01 = Single 02 = Joint 03 = UGMA/ UTMA 04 = Fiduciary	A code used to determine the type of account being established.
43-45	Occurrences	Num 3	M	001 – 004	Identifies the number of times the request variable repeats.

Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Registration Format Symbol Code	Alpha 4	M	PRI = Primary Shareowner SEC= Secondary Shareowner CUS = UGMA and UTMA MIN = Minor	The code that is used to identify a relationship role type of a registration format symbol.
5-39	Customer Prefix Text	Char 35		Send spaces.	Customer's name prefix that is input in the subroutine to be formatted into registration. For future use with Customer Legal Owner.
40-74	Customer Suffix Text	Char 35		Send spaces.	Customer's name suffix that is input in the subroutine to be formatted into registration. For future use with Customer Legal Owner.
75-109	Customer First	Char 35	M		Customer's first name that is

Columns	Field Name	Field Typ	M/O	Values	Description
	Name				input in the subroutine to be formatted into registration.
110-144	Customer Middle Name	Char 35	M		·Customer's middle name that is input in the subroutine to be formatted into registration.
145-179	Customer Last Name	Char 35	M		Customer's last name that is input in the subroutine to be formatted into registration.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-79	Error Message Text	Char 79		Send spaces.	For future use.
80-82	Occurrences	Num 3	M	001 - 004	The number of times the variable response data repeats.
83-92	Alpha Code	Char 10	M		The alphabetic account identification code maintained on the mutual fund system for account searching capabilities.
93	Shareowner Account Phone Check Redemption Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the shareowner has chosen to allow telephone redemptions by check. Y = the shareowner has the option of calling for check redemptions N= the shareowner does not have the option. **Note:** Added to EDITSCRB view since social code was passed in view.
94-96	Registration Type Code (Social Code)	Num 3	M		The code used to identify an ownership classification. Determines the type of account.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-35	Registration Name	Char 35	M		Registration name returned by the subroutine.

Error Messages

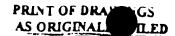| Error Cod	Err r M ssage	Description
EDIT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
EDIT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
EDIT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Address Verification

Example on page 30

Required

Address Verification validates the shareowner's address against the US Postal Service and reformats the address according to postal service standards.

Transaction ID: ADDREDIT@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-35	Address Line 1	Char 35	M		First line of shareowner address.
36-70	Address Line 2	Char 35	M		Second line of shareowner address.
71-105	Address Line 3	Char 35	M		Third line of the shareowner address.

Columns	Field Name	Field Typ	M/O	Values	Descripti n
106-140	Address Line 4	Char 35	M		Fourth line of the shareowner address.
141-175	Address Line 5	Char 35	M		Fifth line of the shareowner address.
176-210	Address Line 6	Char 35		Send spaces.	Sixth line of the shareowner address.
211-245	Address Line 7	Char 35		Send spaces.	Seventh line of the shareowner address.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-65	Error Text	Char 65	M	Send spaces or non-spaces.	Error text from State/Zip editor. Spaces = no error, any other characters = error.
66-130	Error Text	Char 65		Send spaces.	
131-165	Address Line 1	Char 35	M		Reformatted first line of shareowner address.
166-200	Address Line 2	Char 35	M		Reformatted second line of shareowner address.
201-235	Address Line 3	Char 35	M		Reformatted third line of shareowner address.
236-270	Address Line 4	Char 35	M		Reformatted fourth of shareowner address.
271-305	Address Line 5	Char 35	M		Reformatted fifth line of shareowner address.
306-340	Address Line 6	Char 35	M		Reformatted sixth line of shareowner address.
341-375	Address Line 7	Char 35		Send spaces.	Reformatted seventh line of shareowner address.
376-400	Registration City Name	Char 25	O		Reformatted city name.
401-402	Registration State Code	Char 2	O		Reformatted state code.
403-407	Zip Code	Num 5	O		Reformatted Zip.
408-411	Zip Code Suffix	Num 4	O		Zip suffix.

Columns	Fi ld Name	Field Typ	M/O	Values	D scription
412-413	Zip Code Future	Num 2	O		Zip future.
414-416	Resident State/ Country Code	Char 3	M		A two-character state/country code plus a one-character domestic/foreign indicator for the shareholder's state and country of residence. For example, Missouri would be "MOD." See Appendix A for a list of codes.
417	First Registration Line Code	Num 1		Send spaces.	Line code for first line of address information.
418	City State Zip Line Code	Num 1		Send spaces.	Line code for City/State/Zip.

Error Messages

Error Code	Error Message	Description
ADDR0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ADDR0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
ADDR0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Fund Options

Required

Fund Options provides fund processing rules for establishing new accounts.

Transaction ID: FUNDOPT@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred,

the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.
9-21	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-16	Occurrences	Num 3	M	000 - 099	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14	Transaction Allowed	Alpha 1	M	Y = Yes N = No	Distinguishes whether or not the processing of the transaction is allowed.
15-29	Minimum Investment Amount	Num 15	M	13.2	The minimum amount allowed for an initial investment.
30-44	Minimum ACH Purchase Amount	Num 15	M	13.2	The minimum amount allowed for systematic ACH purchases.

Columns	Fi ld Name	Fi ld Typ	M/O	Values	Description
45-59	Maximum ACH Purchase Amount	Num 15	M	13.2	The maximum amount allowed for systematic ACH purchases.
60-74	Minimum ACH Redemption Amount	Num 15	M	13.2	The minimum amount allowed for systematic ACH redemptions.
75-89	Maximum ACH Redemption Amount	Num 15	M	13.2	The maximum amount allowed for systematic ACH redemptions.
90	Initial ACH Purchase	Alpha 1	M	N = No Y = Yes F = FID No D = Non-FID No	N = Initial ACH purchases are not allowed for either fiduciary and non-fiduciary accounts. Y = Initial ACH purchases are allowed for both fiduciary and non-fiduciary accounts. F = Initial ACH purchases are allowed for non-fiduciary, but not allowed for fiduciary accounts. D = Initial ACH purchases are allowed for fiduciary accounts, but not allowed for non-fiduciary accounts.
91	Systematic ACH Purchase	Alpha 1	M	N = No Y = Yes	Distinguishes whether or not the fund allows automatic investments. Only ACH automatic investments are allowed.
92	Systematic Check ACH Redemption Code	Alpha 1	M	C = Check B = Both A = ACH N = No	Distinguishes whether or not the fund allows automatic redemptions via check, ACH, both or neither.
93	Cash Distribution Activity Code	Alpha 1	M	C = Check W = Check and Direct Deposit M = DIV Move A = All	Distinguishes whether or not the fund allows cash distributions via check, check and direct deposit, check and automatic reinvestment across accounts, or all.

Columns	Fi ld Name	Field Type	M/O	Valu s	Descripti n
94	ROA LOI Activity Code	Alpha 1	M	R = ROA B = Both N = No	Distinguishes whether or not the fund allows letter of intent and rights of accumulation processing.
95	Telephone Redemption Activity Code	Alpha 1	M	C = Check W = Check and Direct Deposit N = No	Distinguishes whether or not the fund allows telephone redemptions via check, check and direct deposit, or none of the above.
96	Telephone Exchange	Alpha 1	M	N = No Y = Yes D = Default	N = Option not displayed. Y = Option displayed, but value must be selected. D = Option is displayed and defaults to "Yes."
97-99	ICI Fund Investment Objective	Num 3	M	000-062	Indicates the investment objective code for this fund: See "Appendix B: ICI Fund Investment Objective Codes" for a list of values for this field.
100-134	Share Class Text	Char 35	M		The share class name for a fund.
135-219	Filler	Char 85		Send spaces.	For future use.
220-234	Maximum Investment Amount	Num 15	M	13.2	The maximum ámount allowed for an initial investment.
235-238	Initial Investment Cutoff Time	Char 4	M		The time of day after which initial investments will receive the next business day's trade date. Displayed in military time, Central Time Zone.

Columns	Field Name	Field Type	M/O	Values	Description
239	Waive Initial Investment Check Box Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the **Waive Initial Investments** check box will appear on the Enter Investment Amount window. Y = the management company allows waiver of the initial investment, but automatic investments are required. N = the management company requires an initial investment.
240	Fiduciary Transactions Allowed Code	Alpha 1	M	Y = Yes N = No	Distinguishes whether or not the processing of a fiduciary transaction is allowed for an account type of 04.
241-255	Fiduciary Minimum Investment Amount	Num 15	M	13.2	The minimum amount allowed for an initial investment into a fiduciary account type of 04.
256-270	Fiduciary Maximum Investment Amount	Num 15	M	13.2	The maximum amount allowed for an initial investment into a fiduciary account type of 04.
271-285	Fiduciary Minimum ACH Purchase Amount	Num 15	M	13.2	The minimum amount allowed for ACH purchases into a fiduciary account type of 04.
286-300	Fiduciary Maximum Purchase Amount	Num 15	M	13.2	The maximum amount allowed for purchases into a fiduciary account type of 04.
301-304	Fiduciary Cutoff Time	Char 4	M		The time of day after which initial investments for fiduciary accounts type of 04 will receive the next business day's trade date. Displayed in military time, Central Time Zone.

Error Messages

Err r Code	Err r Message	D scription
FNDO0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
FNDO0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
FNDO0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Bank Information

Example on page 87

Conditional

Bank Information validates the bank routing number specified on the Bank Information window. If ACH is allowed for initial investments, dividends, automatic investments, automatic withdrawals and telephone redemptions, the Bank Information transaction is required.

Transaction ID: BANKINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-9	Bank Micro ID	Num 9	M		Contains the American Banking Association (ABA) routing number.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Valu s	Description
1-35	Bank Name	Char 35	M		The name of the banking institution.
36-70	Bank Street Address	Char 35	M		The street address of the banking institution.
71-105	Bank City	Char 35	M		The city in which the banking institution resides.
106-108	Bank State Code	Num 3	M		The state code for the state in which the banking institution resides.
109-117	Bank ZIP Code	Num 9	M		The zip code of the banking institution.
118-119	Bank ZIP Code Future	Num 2	M		The future zip code of the banking institution.
120-121	Bank State Country Text	Char 2	M		The two-character state code for the state in which the banking institution resides.

Error Messages

Error Code	Error Message	Description
BANK0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
BANK0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
BANK0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

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Dividend Reinvestment Across Accounts Validation

Example on page 91

Conditional

Dividend Reinvest Across Accounts Validation provides a valid mutual fund list in which dividends and capital gains may be reinvested across accounts. If a management company chooses to offer dividend reinvestment across accounts through new account establishment, the Dividend Reinvest Across Accounts Validation is required.

Transaction ID: NDIVMOVE@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Next "From" Security Issue ID	Num 13	M		Used for repositioning. Initially low values, this field is used on subsequent calls and is populated from the next "from" security issue ID field in the Fixed Response.
14-26	Next "To" Security Issue ID	Num 13	M		Used for repositioning. Initially low values, this field is used on subsequent calls and is populated from the next "to" security issue ID field in the Fixed Response.
27-29	Occurrences	Num 3	M	000 - 999	The number of times the variable response repeats.

Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	"From" Security Issue ID	Num 13	M		Identifies the funds chosen in the Investment Selection window from which dividends will be generated for reinvestment in another fund.

Transaction Fixed Response Data

C lumns	Field Name	Field Type	M/O	Values	Description
1-13	Next "From" Security Issue ID	Num 13	M		Used for repositioning. Contains key information to be returned on subsequent requests in the next "from" security issue ID of the Fixed Request.
14-26	Next "To" Security Issue ID	Num 13	M		Used for repositioning. Contains key information to be returned on subsequent requests in the next "to" security issue ID of the Fixed Request.
27-29	Occurrences	Num 3	M	000 - 999	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	"From" Security Issue ID	Num 13	M		Identifies the mutual fund from which dividends will be generated for reinvesting in another fund.
14-26	"To" Security Issue ID	Num 13	M		Identifies the mutual fund in which dividends will be reinvested.

Error Messages

Error Code	Error Message	Description
NDIV0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
NDIV0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.

Error Code	Error Messag	Description
NDIV0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Verification

Required

Account Verification validates the fund and account number(s) specified for dividend reinvestment across accounts, rights of accumulation and letter of intent.

Transaction ID: ACCTVERF@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Return Letter of Intent Information	Alpha 1	M	Y = Yes N = No	This field determines whether letter of intent information will be retrieved. If the value is "Yes," there will be only one occurrence.
2-4	Occurrences	Num 3	M	000 - 100	Identifies the number of times the variable response data repeats. If the return LOI information code = Y, there will only be one occurrence.

Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Nam	Field Type	M/O	Values	Descripti n
1-10	Starting Date	Char 10	M	MM/DD/ YYYY	Starting date of the letter of intent (LOI). This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
11-20	Expiration Date	Char 10	M	MM/DD/ YYYY	Date the letter of intent (LOI) expires or matures. This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
21-35	Agreement Amount	Num 15	M	13.2	The agreed upon dollar amount for the letter of intent (LOI). This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
36-50	Amount Invested	Num 15	M	13.2	The purchase-to-date dollar amount invested in the letter of intent (LOI). This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
51-65	Amount Due	Num 15	M	13.2	The remaining balance of the letter of intent (LOI). This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
66-68	Occurrences	Num 3	M	000 - 100	Identifies the number of times variable response data repeats. This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund
34	Account Exists	Alpha 1	M	Y = Yes N = No P = PPA A = Not Authorized	Confirms that the account exists. Y = account exists N = account does not exist. "No," "PPA" and "Not Authorized" should return an error and not allow the operator to continue using that account. "Yes" indicates the account exists and the operator can continue processing.
35-69	Registration Name 1	Char 35	M		First line of shareowner registration.
70-104	Registration Name 2	Char 35	M		Second line of shareowner registration.
105-139	Registration Name 3	Char 35	M		Third line of the shareowner registration.
140-174	Registration Name 4	Char 35	M		Fourth line of the shareowner registration.
175-209	Registration Name 5	Char 35	M		Fifth line of the shareowner registration.
210-244	Registration Name 6	Char 35	M		Sixth line of the shareowner registration.
245-279	Registration Name 7	Char 35		Send spaces.	Seventh line of the shareowner registration.

C lumns	Field Nam	Field Typ	M/O	Values	D scripti n
280-288	LOI Number	Char 9	M		Links accounts that receive a price break by contracting to purchase a certain amount within 13 months. If the Return Letter of Intent Information is 'Y'es, and the value is spaces, an error will result.
289-297	Rights of accumulation (ROA)	Num 9	M		Rights of Accumulation (ROA) Field Description should read "Accounts where commissions have been paid on less than 100% of the total valuation of the group. When linking to an existing ROA, if the value is spaces, an error will result.

Error Messages

Error Code	Error Message	Description
ACCT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACCT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
ACCT0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACCT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Letter of Intent Agreement Amounts

Examples on page 94-100

For establishing letter of intent agreement amounts.

Conditional

LOI Agreement Amounts provides a list of available agreement amounts to select when establishing an LOI. If a management company chooses to establish LOI through new account establishment, the LOI Agreement Amounts transaction is required.

Transaction ID: ORDRBRKS@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Occurrences	Num 1	M	000 - 12	Identifies the number of times variable response data repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-15	Order Level Breaks	Num 15	M	13.2	The price breaks to be displayed as the agreement amounts for letters of intent.

Error Messages

Error Code	Error Message	Description
ODRB0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance	Severe system error has occurred.

Error C d	Err r Messag	D scripti n
ODRB0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ODRB0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Systematic Processing Days

Conditional

Systematic Processing Days provides the days of the month a shareowner may choose for processing automatic investments and automatic withdrawals. If the automatic investments and/or withdrawals account options will be offered through New Account Establishment, Systematic Processing Days transaction is required.

Transaction ID: SYSDAYS@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.
9-21	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Transaction Fixed Response Data

Columns	Field Nam	Fi ld Type	M/O	Values	Description
1-13	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-16	Occurrences	Num 3	M	000 - 0160	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-16	Occurrences	Num 3	M	000 - 031	Number of times the variable response repeats.

Transaction Fixed Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-2	Systematic Transactions Process Date	Num 2	M		The day of the month the systematic transaction is to be processed.
3	ACH Purchases Date Code	Alpha 1	M	Y = Yes N = No D = Default	Distinguishes whether or not ACH purchases can be processed on this date. D = this date is the default for ACH purchases.
4	ACH Redemptions Date Code	Alpha 1	M	Y = Yes N = No D = Default	Distinguishes whether or not ACH redemptions can be processed on this date. D = this is the default date for ACH redemptions.
5	Redemptions by Check Date Code	Alpha 1	M	Y = Yes N = No D = Default	Distinguishes whether or not redemptions by check can be processed on this date. D = this is the default date for redemptions by check.

Error Messages

Error Code	Error Message	Description
SYSD0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
SYSD0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
SYSD0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Interested Party Additional Mail Information

Example on page 102

Conditional

Provides the ability to designate up to four addresses of interested parties who should receive additional mail for the new accounts being established. Additionally, the process validates the city, state and zip code combination for domestic addresses. If the Interested Party account option (set in Management Information within Inquiry) is offered through New Account Establishment, the Interested Party Additional Mail Information transaction is required.

Transaction ID: INTRPART@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Occurrences	Num 3	M	000 - 004	Identifies the number of times the variable request repeats.

Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-35	Registration Name 1	Char 35	M		First line of shareowner registration.
36-70	Registration Name 2	Char 35	M		Second line of shareowner registration.
71-105	Registration Name 3	Char 35	M		Third line of the shareowner registration.
106-140	Registration Name 4	Char 35	M		Fourth line of the shareowner registration.
141-175	Registration Name 5	Char 35	M		Fifth line of the shareowner registration.
176-210	Registration Name 6	Char 35	M		Sixth line of the shareowner registration.
211-245	Registration Name 7	Char 35		Send spaces.	Seventh line of the shareowner registration.
246	Foreign Address Code	Alpha 1	M	Y = Yes N = No	Designates whether or not the shareowner address is foreign or domestic. Yes = the address is foreign; No = the address is domestic.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Occurrences	Num 1	M	0-4	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values
1-15	Error Code	Num 15	M	0 = No Error 1 = Error

Error Messages

Error Code	Error Message	Description
INTR0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error M ssage	Description
INTR0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the **Back** button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
INTR0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

New Account Establishment Update

Required

New Account Establishment gathers information input through the Vision Web site and establishes new accounts on the mutual funds system.

Transaction ID: NASUUPDT@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Fi ld Type	M/O	Values	Descripti n
1	Function Code	Alpha 1	M	N	
2	Request Type Code	Alpha 1	M	I = Initial X = All C = Complete N = Incomplete	I is used for the initial call when there will be subsequent calls. X is used for the initial call when there will not be subsequent calls. C is used for a subsequent call when it will be the last call. N is used for a subsequent call when it will not be the last call. Note: This field is required because of the 32K maximum data packet.
3-17	Queue Name 1	Num 15	M		Fund-defined data returned in the response and resent with subsequent requests.
18-32	Queue Name 2	Num 15	M		Fund-defined data returned in the response and resent with subsequent requests.
33-52	Account Number	Num 20		Send spaces or null values.	This is the model account number conditionally used to determine the account numbers of the new accounts. For future use with Account Modeling.
53-55	Registration Type Code (Social Code)	Num 3	O		The code that identifies a registration format that classifies legal ownership registration. Obtained from the Registration Format, Fixed Response.
56-58	Fund Occurrences	Num 3	M	000 - 300	Identifies the number of times the Fund Transaction-Variable Response repeats.

Columns	Field Name	Field Type	M/O	Valu s	Description
59-61	Registration Item Occurrences	Num 3	M	000 - 001	Identifies the number of times the Reg transaction variable response repeats (registration information remains the same regardless of the number of accounts).
62-64	Bank Instruction Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the Bank transaction variable response repeats.
65-67	Initial ACH Purchase Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the ACH Transaction Variable response repeats. There will be one occurrence for each fund in which the shareholder chooses to invest.
68-70	Dividend Instruction Item Occurrences	Num 3	M	001 - 300	Identifies the number of times the Div transaction variable response repeats.
71-73	Systematic Purchase Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the SPR transaction variable response repeats.
74-76	Systematic Redemption Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the SRD transaction variable response repeats.
77-79	LOI Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the SOI transaction variable response repeats.
80-82	ROA Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the ROA transaction variable response repeats.
83-85	Interested Party Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the ADM transaction variable response repeats.
86-88	Telephone Redemptions	Num 3	M	000 - 300	Identifies the number of times the TRD transaction variable response repeats.
89-91	Fiduciary Information	Num 3	M	000 – 001	Identifies the number of times the FID transaction variable response repeats.

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Columns	Field Name	Field Type	M/O	Values	Description
92-94	Beneficiary Information	Num 3	M	000 – 001	Identifies the number of times the BEN transaction variable response repeats.

FUND Transaction Variable Repeatable Request Data

The FUND Transaction Variable Repeatable Request Data must be sent for all Request Type Codes provided in the **Transaction Fixed Request Data** above.

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14	Expedited Exchange	Alpha 1	M	Y = Yes N = No	Indicates whether or not the new account allows telephone (expedited) exchanges.
15	ACH Account	Alpha 1	M	Y = Yes N = No	Indicates whether or not the new account allows an operator to process ACH transactions.

REG Transaction Variable Repeatable Request Data

For setting up the registration and account information. There will be one of these data areas on the initial call and 0 on subsequent calls.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	M	REG	
4	Process Type Code	Alpha 1	M	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	M		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.

C lumns	Fi ld Name	Field Type	M/O	Valu s	D scription
10-12	Function Order Track Count	Num 3	M		A sequence number assigned by the Web to track the order of the functions processed within Vision New Account Establishment and Maintenance."
13-21	Social Security Number	Num 9	M		The shareowner's tax identification number.
22	Filler	Char 1	O		For future use.
23-25	Registration Type Code (Social Code)	Num 3	M		The code that identifies a registration format that classifies legal ownership registration.
26-60	Registration Name 1	Char 35	M		First line of the shareowner registration.
61-95	Registration Name 2	Char 35	M		Second line of the shareowner registration.
96-130	Registration Name 3	Char 35	M		Third line of the shareowner registration.
131-165	Registration Name 4	Char 35	M		Fourth line of the shareowner registration.
166-200	Registration Name 5	Char 35	M		Fifth line of the shareowner registration.
201-235	Registration Name 6	Char 35	M		Sixth line of the shareowner registration.
236-270	Registration Name 7	Char 35		Send spaces.	Seventh line of the shareowner registration.
271-279	Representative Number	Char 9	M		Number assigned to the representative on the account.
280-309	Representative Name	Char 30	M		Name of the representative on the account.

Columns	Field Name	Field Type	M/O	Values	Description
310-312	Resident State Country Code	Char 3	M		A two-character state/country code plus a one-character domestic/foreign indicator for the shareholder's state and country of residence. For example, Missouri would be "MOD." See Appendix A for a list of codes.
313-317	Zip Code	Num 5	M		The zip code on the account.
318-321	Zip Code Suffix	Num 4	O		The zip code suffix on the account.
322-323	Zip Code Future	Num 2	O		The zip code future number on the account.
324	Line Code	Num 1	O		Indicates the line number where the address begins.
325	Shareholder Account Phone Check Redemption Code	Num 1	M	Y = Yes N = No	Indicates whether or not the account allows telephone redemptions by check. If the operator selects either **check** or **check or direct deposit** on the Select Telephone Redemption window, this field is **Yes**. Otherwise, this field is **No**.
326-335	Alpha Code	Char 10	M		The alphabetic account identification for use in the mutual fund system for account searching capabilities.
336	New ROA Link	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows for a new account to be automatically linked to a qualified related account through Auto ROA.

C lumns	Fi ld Nam	Field Typ	M/O	Valu s	D scripti n
337	Current ROA Link	Alpha 1	M	S = SSN L = LOI/ SSN N = No Link	Indicates whether or not the fund allows for an existing account to be automatically linked to a qualified related account through Auto ROA.

BNK Transaction Variable Repeatable Request Data

For setting up bank information. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	BNK	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26	ACH Special Purchase Code	Alpha 1	M	D = Default Y = Yes N = No	Indicates whether or not this bank instruction represents initial purchases through ACH.

Columns	Field Name	Fi ld Type	M/O	Valu s	Descripti n
27	Redemption Code	Alpha 1	O	D = Default Y = Yes N = No	Indicates whether or not the account allows telephone redemptions by wire. If the operator select **redemptions by check** or **do not allow telephone redemptions** on the Select Telephone Redemption window, this field is **No**. Otherwise, this field is **Yes**.
28	Redemption Option	Num 1	O	0 = No 1 = Direct Deposit	Indicates the type of telephone redemptions allowed on the account. If the operator selects **redemptions by check do not allow telephone redemptions** on the Select the Telephone Redemption window, this field is **0**. Otherwise, this field is **1**.
29	ACH Dividend Code	Alpha 1	O	Y = Yes N = No	Indicates whether or not this bank instruction represents dividends by direct deposit.
30	Systematic Transaction Code	Alpha 1	O	Y = Yes N = No	Indicates whether or not this bank instruction represents automatic withdrawal or automatic investment.
31-39	Bank Micr ID	Num 9	O		Federal Reserve Routing Number + ABA Number + Check Digit.
40-56	Bank Account Number Unedited	Char 17	O		The bank account number of the shareholder's bank.
57-91	Bank Account Registration Line 1	Char 35	O		First line of the bank account registration.
92-126	Bank Account Registration Line 2	Char 35	O		Second line of the bank account registration.

C lumns	Field Nam	Fi ld Type	M/O	Valu s	Description
127	Bank Account Type Code	Alpha 1	O	C = Checking S = Savings Z = NA	Type of Bank Account.

ACH Transaction Variable Repeatable Request Data

For the ACH purchase transaction. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	ACH	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26-40	Trade Amount	Num 15	O	13.2	Dollar amount of ACH.
41-49	Bank Micr ID	Num 9	O		Verifies the bank instructions on the BNK record.
50-66	Bank Account Number Unedited	Char 17	O		Verifies the bank instructions on the BNK record.
67-101	Bank Account Registration Line 1	Char 35	O		Verifies the bank instructions on the BNK record.

Columns	Field Nam	Field Typ	M/O	Valu s	Description
102-136	Bank Account Registration Line 2	Char 35	O		Verifies the bank instructions on the BNK record.
137	Bank Account Type Code	Alpha 1	O	C = Checking S = Savings Z = NA	Verifies the bank instructions on the BNK record
138	Initial Investment Past Cutoff Time	Alpha 1	O	Y = Yes N = No	If the initial investment was processed after the Initial Investment Cutoff Time provided in the FUNDOPT@Vision transaction, this field should contain a Y. Otherwise, NO should be in this field.
139	Waive Minimum Amount Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the minimum investment amount will be waived. If the flag is Y, then the minimum investment amount on the Fund Transaction Option Table (Q78) will not be enforced. If the flag is N, the minimum amount on the Q78 will be checked against the trade. If the trade does not meet the required minimum, an error will result.
140	Contribution Year Code	Alpha 1	M	P = Prior C = Current	Indicates whether the fiduciary contribution is for the current or prior year.

DIV Transaction Variable Repeatable Request Data (Example on page 90)

For setting the dividend and capital gain options including reinvestment diversification to a separate but existing account. Can be one to many of these data areas.

Note: The DIV Request Data will not be sent if the user chooses to reinvest dividends and capital gains for all funds selected for investment.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	M	DIV	

Columns	Field Name	Fi ld Type	M/O	Valu s	Description
4	Process Type Code	Alpha 1	M	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	M		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	M		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26	Dividend Option Code	Num 1	M	0 = Reinvest 1 = Cash	
27	Capital Gains Options Code	Num 1	M	0 = Reinvest 1 = Cash	
28	Cash Instruction Type Code	Alpha 1	M	A = Address of Record M = Move W = Direct Deposit	Will be set to M for "move" when the reinvestment diversification option is selected and the dividends and capital gains will be sent to a separate but existing account.
29-41	"To" Security Issue ID	Char 13	M		This is the fund for the separate but existing account that dividends and capital gains will be moved to when the reinvestment diversification option is selected.

Columns	Fi ld Name	Field Typ	M/O	Valu s	D scription
42-61	"To" Account Number	Char 20	M		This is the fund for the separate but existing account that dividends and capital gains will be moved to when the enter deposit to existing account option is selected.

SPR Transaction Variable Repeatable Request Data (Example on page 92)

For setting systematic purchase options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	SPR	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26-40	Systematic Agreement Amount	Num 15	O	13.2	Dollar amount of the systematic purchase agreement.
41-52	Monthly Payment Code	Alpha 1 occurs 12 times	O	N = No Y = Yes	The months in which the systematic agreement will be processed following the agreement month.

Columns	Field Nam	Field Type	M/O	Values	Description
53-54	Agreement Month Code	Num 2	O	01 - 12	The month in which the systematic agreement should begin processing.
55-56	Agreement Day Code	Num 2 occurs 2 times	O	01 - 31	The day(s) of the month on which the systematic agreement should be processed.
57-65	Bank Micr ID	Num 9	O		Verifies the bank instructions on the BNK record.
66-82	Bank Account Number Unedited	Char 17	O		Verifies the bank instructions on the BNK record.
83-117	Bank Account Registration Line 1	Char 35	O		Verifies the bank instructions on the BNK record.
118-152	Bank Account Registration Line 2	Char 35	O		Verifies the bank instructions on the BNK record.
153	Bank Account Type Code	Alpha 1	O	C = Checking S = Savings Z = NA	Verifies the bank instructions on the BNK record.

SRD Transaction Variable Repeatable Request Data (Example on page 93)

For setting systematic redemption options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	SPR	SOI=LOI
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.

C lumns	Fi ld Nam	Field Type	M/O	Valu s	Description
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26-40	Systematic Agreement Amount	Num 15	O	13.2	Dollar amount of the systematic redemption agreement.
41	Agreement Type Code	Alpha 1	O	C = Check R = ACH	Indicates the payment type of the systematic redemption.
42-53	Monthly Payment Code	Alpha 1 occurs 12 times	O	N = No Y = Yes	The months in which the systematic agreement will be processed following the agreement month.
54-55	Agreement Month Code	Num 2	O	01 - 12	The month in which the systematic agreement should begin processing.
56-57	Agreement Day Code	Num 2	O	01 - 31	The day of the month on which the systematic agreement will be processed.
58-66	Bank Micr ID	Num 9	O		Verifies the bank instructions on the BNK record.
67-83	Bank Account Number Unedited	Char 17	O		Verifies the bank instructions on the BNK record.
84-118	Bank Account Registration Line 1	Char 35	O		Verifies the bank instructions on the BNK record.
119-153	Bank Account Registration Line 2	Char 35	O		Verifies the bank instructions on the BNK record.
154	Bank Account Type Code	Alpha 1	O	C = Checking S = Savings Z = NA	Verifies the bank instructions on the BNK record.

SOI Transaction Variable Repeatable Request Data (Examples on pages 94-100)

For setting up LOI options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	SOI	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26-45	Account Number	Char 20	O		The unique identifier for a shareowner account within a mutual fund.
46-54	LOI Number	Num 9	O		The number that links accounts that are included in a letter of intent agreement.
55	Pre-Existing LOI Number Code	Alpha 1	O	N = No Y = Yes	
56-70	Agreement Amount	Num 15	O	13.2	Dollar amount of the letter of intent agreement.

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CUM Transaction Variable Repeatable Request Data (Examples on pages 94-100)

For setting rights of accumulation (ROA) options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	CUM	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26-45	Account Number	Char 20	O		The unique identifier for a shareowner account within a mutual fund.
46-54	ROA Number	Num 9	O		The number that links accounts for reduced sales charge accumulation.
55	Pre-Existing ROA Number Code	Alpha 1	O	N = No Y = Yes	

ADM Transaction Variable Repeatable Request Data (Example on page 102)

For setting additional mail options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	ADM	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	

Columns	Field Name	Field Type	M/O	Values	Description
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26	Pre-Existing Additional Mail Code	Alpha 1	O	N = No Y = Yes	
27-29	Key Suffix	Num 3	O		
30-64	Registration Name 1	Char 35	O		First line of additional mail.
65-99	Registration Name 2	Char 35	O		Second line of additional mail.
100-134	Registration Name 3	Char 35	O		Third line of additional mail.
135-169	Registration Name 4	Char 35	O		Fourth line of additional mail.
170-204	Registration Name 5	Char 35	O		Fifth line of additional mail.
205-239	Registration Name 6	Char 35	O		Sixth line of additional mail.
240-274	Registration Name 7	Char 35	O		Seventh line of additional mail.
275-279	Zip Code	Num 5	O		The zip code of the additional mail.

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Columns	Field Name	Field Type	M/O	Values	Description
280	Foreign Address Code	Alpha 1	O	N = No Y = Yes	Designates whether or not the shareowner address is a foreign or domestic address. Yes = foreign address No = domestic address.

TRD Transaction Variable Repeatable Request Data (Example on page 103)

For setting telephone redemption options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	TRD	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

FID Transaction Variable Repeatable Request Data

For setting fiduciary account options. There can be 0 or one of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	FID	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	

Columns	Field Name	Field Typ	M/O	Values	D scription
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver
13-22	Birth Date	Char 10	O	MM/DD/ YYYY	Identifies the shareowner's date of birth.
23	Marital Status	Alpha 1	O	M = Married S = Single	Identifies the shareowners marital status as being married or single.

BEN Transaction Variable Repeatable Request Data (Example on page 81)

For setting IRA account beneficiary options. There can be 0 or one of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	BEN	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-22	Primary Birth Date	Char 10	M	MM/DD/ YYYY	Indicates the date of birth of the first primary beneficiary.

Columns	Field Name	Field Type	M/O	Values	Description
23-31	Primary Identification Number	Num 9	M		Indicates the tax identification or social security number for the first primary beneficiary.
32-46	Primary Relationship	Char 15	M		Indicates the relationship of the first primary beneficiary to the shareowner.
47-78	Primary Name 1	Char 32	M		Identifies the name of a primary beneficiary.
79-110	Primary Name 2	Char 32	M		Identifies the name or address of a primary beneficiary.
111-142	Primary Name 3	Char 32	M		Identifies the name or address of a primary beneficiary.
143-174	Primary Name 4	Char 32	M		Identifies the name or address of a primary beneficiary.
175-177	Primary Name Percent 1	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to primary beneficiary 1.
178-180	Primary Name Percent 2	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to primary beneficiary 2.
181-183	Primary Name Percent 3	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to primary beneficiary 3.
184-186	Primary Name Percent 4	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to primary beneficiary 4.
187-196	Secondary Birth Date	Char 10	M	MM/DD/ YYYY	Indicates the date of birth of the first secondary beneficiary.

C lumns	Field Name	Field Type	M/O	Valu s	Description
197-205	Secondary Identification Number	Num 9	M		Indicates the tax identification or social security number of the first secondary beneficiary.
206-220	Secondary Relationship	Char 15	M		Indicates the relationship of the first secondary beneficiary to the shareowner.
221-252	Secondary Name 1	Char 32	M		Identifies the name of the secondary beneficiary.
253-284	Secondary Name 2	Char 32	M		Identifies the name of the secondary beneficiary.
285-316	Secondary Name 3	Char 32	M		Identifies the name of the secondary beneficiary.
317-348	Secondary Name 4	Char 32	M		Identifies the name of the secondary beneficiary.
349-351	Secondary Name Percent 1	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to secondary beneficiary 1.
352-354	Secondary Name Percent 2	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to secondary beneficiary 2.
355-357	Secondary Name Percent 3	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to secondary beneficiary 3.
358-360	Secondary Name Percent 4	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to secondary beneficiary 4.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Transaction Header Batch Date	Char 10	M	MM/DD/ YYYY	Purchase posting date.

Columns	Fi ld Name	Fi ld Type	M/O	Valu s	D scription
11-19	ROA Number	Num 9	M		The number that links accounts for rights of accumulation.
20-28	LOI Number	Num 9	M		The number that links accounts that are included in a letter of intent agreement.
29-43	Queue Name 1	Num 15	M		Used on subsequent view calls for repositioning.
44-58	Queue Name 2	Num 15	M		Used on subsequent view calls for repositioning
59-61	Occurrences	Num 3	M	000-300	Number of times the variable response repeats.
62	Assigned ROA Code	Alpha 1	M	E = Existing N = New Z = Zero	Indicates what type of ROA number was assigned. Zero is assigned for when there are two or-more related accounts that have different ROA numbers.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Num 20	M		The unique identifier for a shareowner account within a mutual fund.
34	Initial Investment Past Cutoff Time	Alpha 1	M	Y = Yes N = No	Indicates whether or not the initial investment was processed after the fund cut-off time. If **Yes** is selected, the initial investment was processed after the fund cut-off time. Otherwise, **No** will appear in this field.

Error Messages

Error Code	Error Message	Description
NASU0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
NASU0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
NASU0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Chapter 5:

Vision Options Implementation Worksheet

Management Level Options

The table should be completed upon the initial implementation of Vision. The information will apply to all funds offered through Vision Mutual Fund Gateway. Any additions, changes, or deletions to the management level options must be communicated to the Vision Group.

Field Name	Description	Setting
Mutual Fund Company Name	The name of the mutual fund company (38 bytes). Displayed on the Vision management list exactly as indicated here.	
Standard Application Text and Legal Content	Does the fund choose to use the Vision standard application text and legal content?	☐ Yes ☐ No

Chapter 6:

Field Descriptions and Definitions

Representative Information

Enter Representative Information—Dealer Number

Dealer Number, Dealer/Branch, Dealer/Representative

Depending on the dealer security level, this field will:

- display the dealer number, or
- allow you to select dealer/branch, dealer/representative or dealer number
- allow you to enter the dealer number

Branch Number

This field will either display the branch number or allow you to enter the branch number, depending on the dealer security level. If dealer security includes access to multiple dealer/branch combinations, this field will not appear.

Representative Number

This field will either display the representative number or allow you to enter the representative number, depending on the dealer security level. If dealer security includes access to multiple dealer/representative combinations, this field will not appear.

Representative Name

Enables you to enter the name of the representative.

Representative Telephone Number

Enables you to enter the representative's phone number.

Select Registration Type

Select Registration Type window

Registration Type

Allows you to select the type of account. Valid account types include

- Individual Male
- Individual Female
- Joint Tenants
- Tenants in Entirety

- Tenants in Common
- Uniform Gift to Minors
- Uniform Transfer to Minors
- Traditional IRA
- Roth IRA

Registration Information

Enter Registration Information—Individual

Enter Registration Information—Joint

Enter Registration Information—Tenants in Entirety

Enter Registration Information—Tenants in Common

Enter Registration Information—Uniform Gift/Transfer to Minor

Enter Registration Information—Traditional IRA

Enter Registration Information—Roth IRA

First Name

Enables you to enter the shareowner or custodian's first name or initial. This field is required.

Middle Initial

Enables you to enter the shareowner or custodian's middle initial. This field is optional.

Last Name

Enables you to enter the shareowner or custodian's last name. This field is required. Degrees, certifications or titles earned may be included with the last name.

Resident State

Enables you to select the state in which the gift to minor is being made. This field is required. Displayed only for UGMA/UTMA accounts.

SSN

The social security number is required for US citizens or resident aliens. The SSN is optional for joint shareowners and minors. If the fund company allows non-resident alien accounts, you may leave this field blank or enter all zeroes to establish a foreign account without a social security number.

Citizenship

Select **US Citizen** or **Resident Alien.** If the fund allows non-resident alien accounts, an additional button and country drop-down list will appear.

Additional Shareowners — First Name

Enables you to type the first name or initial for up to three additional shareowners. At least one additional shareowner is required. Displayed only for joint accounts.

Additional Shareowners — Middle Initial

Enables you to type the middle name initial for up to three additional shareowners. This field is optional. Displayed only for joint accounts.

Additional Shareowners — Last Name

Enables you to type the last name for up to three additional shareowners. This field is required. You may include degrees, certifications, or titles earned with the last name. Displayed only for joint accounts.

Additional Shareowners — SSN

Enables you to type the Social Security Numbers of up to three additional shareowners. This field is optional. Displayed only for joint accounts.

Minor — First Name

Enables you to type the minor's first name or initial. This field is required. Displayed only for UGMA/UTMA accounts.

Minor — Middle Initial

Enables you to type the minor's middle name initial. This field is optional. Displayed only for UGMA/UTMA accounts.

Minor — Last Name

Enables you to type the minor's last name. This field is required. You may include degrees, certifications, or titles earned with the last name. Displayed only for UGMA/UTMA accounts.

Minor — SSN

Enables you to type the minor's Social Security Number. This field is optional. Displayed only for UGMA/UTMA accounts.

Birthdate

Enables you to type the shareholder's date of birth in numeric format. Displayed only for Traditional or Roth IRA registration types.

Start Year

Enables you to type the year the shareholder first opened a Roth IRA account. Displayed only for Roth IRA registration types.

Marital Status

Enables you to select the shareholder's marital status. Married is selected by default. Displayed only for Traditional or Roth IRA registration types.

Shareowner Address

Enter Shareowner's Address

Address

Enables you to enter the shareowner or custodian's street address. If a foreign address is being established, include the complete, city, province and country information. The number of address lines will vary depending on the type of account being established. The first line is required.

City

Enables you to enter the shareowner or custodian's city. This field is required. Displayed only for domestic addresses.

State

Enables you to select the shareowner or custodian's state abbreviation. This field is required. Displayed only for domestic addresses.

Zip

Enables you to enter the shareowner or custodian's five-digit ZIP code. This field is required. Displayed only for domestic addresses.

Bus. Phone

Enables you to enter the shareowner or custodian's business telephone number. This field is optional.

Home Phone

Enables you to enter the shareowner or custodian's home telephone number. This field is optional.

E-Mail

Enables you to enter the shareowner or custodian's e-mail address. This field is optional.

Verify Shareowner's Address

Verify Shareowner's Address

Edited Address

Displays the address as edited against the U.S. Post Office Finalist address database.

Accept Address

Click this button to accept the displayed address as the address of registration for the new account(s) being established.

Designate Beneficiaries

Enter Beneficiary Information window

Name

Enables you to enter up to four primary and up to four secondary IRA account beneficiaries.

SSN (Social Security Number)

Enables you to enter up to four primary and up to four secondary IRA account beneficiary social security numbers.

Birthdate

Enables you to enter up to four primary and up to four secondary IRA account beneficiary birth dates.

% of Account (Percent of Account)

Enables you to indicate what percent of the shareholder's account will go to the stated IRA account beneficiaries (up to four primary and up to four secondary) upon the shareholder's death. If no percentage is specified, primary beneficiaries will share the account balance equally. The percentages for the IRA's primary and/or secondary beneficiaries must equal 100%.

Select a Fund

Select a Fund—Non-IRA

Select a Fund—IRA

Fund Name

Displays the names of funds available for new account establishment through Vision. The fund's investment objective and CUSIP number are also displayed. To select a fund for new account establishment, check the box next to the name of the fund.

Investment Amount

Enter Investment Amount—Non-IRA

Enter Investment Amount—Traditional IRA

Enter Investment Amount—Roth IRA

Fund Name

Displays the names of funds available for new account establishment through Vision.

Share Class

Displays the share class for all funds selected on the Select a Fund window.

Minimum Investment

Displays the minimum investment dollar amount required for the initial purchase.

$ Amount (Non-IRA Accounts Only)

Enables you to enter the new account initial purchase dollar amount. Whole dollar purchases do not require a decimal point. An entry in the **$ Amount** field is required unless the **Waive Initial Investments** option is checked.

Prior Year $ Amount (IRA Accounts Only)

Enables you to enter the initial IRA contribution dollar amount for the **prior** tax year. Whole dollar purchases do not require a decimal point. An entry in either the **Prior Year $ Amount** or the **Current Year $ Amount** field is required unless the **Waive Initial Investments** option is checked.

This entry field is available only between January 1 and mid-April (usually April 15).

Current Year $ Amount (IRA Accounts Only)

Enables you to enter the initial IRA contribution dollar amount for the **current** tax year. Whole dollar purchases do not require a decimal point. An entry in either the **Prior Year $ Amount** or the **Current Year $ Amount** field is required unless the **Waive Initial Investments** option is selected.

Waive Initial Investments (Check Box)

If this box appears in the right-hand column, the account will be settled via automatic investment and no initial investment is required. Funds may be selected by checking the **Waive Initial Investments** box or by entering an amount that is less than the **Minimum Investment.**

IRA Fee Amount

Enables you to enter the IRA fee amount should you choose to pay the IRA fee at time of new account establishment. Currently, IRA fees cannot be paid via ACH; fees must paid by check.

Payment Type (Buttons)

- **Electronically Debit Customer's Bank Account**—Indicates that the account will be settled through an Automated Clearinghouse (ACH) purchase.
- **Mail Check to the Fund**—Indicates that the account will be settled with a check accompanying the Account Application Remittance.

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Bank Information

Enter Bank Information for Initial Investment

Name on Account

Displays the shareholder's account number, as identified by the fund company.

Routing Number

Displays the Federal Reserve's nine-digit routing identification number assigned to the shareholder's bank. The first four digits indicate the bank's Federal Reserve ID number, the second four digits indicate the American Banking Association (ABA) number, and the last digit is the check digit.

Bank Account Number

Displays the bank account number of the shareholder's bank. This account is the one to which funds are wired (in the case of a redemption) or from which payments are drawn (in the case of a pre-authorized purchase).

Set Up Account Options

Setup Account Options

Account Options

Setup/Change Distribution Options

When selected, enables dividend processing rules to be established and modified. These rules will default to reinvest both dividends and capital gains.

Setup/Change Automatic Investment

When selected, enables systematic Automated Clearinghouse (ACH) purchases to be established and modified. This option will display only if all the mutual funds selected allow ACH purchases.

Setup/Change Automatic Withdrawal

When selected, enables systematic withdrawals to be established and modified. This option will display only if all the mutual funds selected allow both ACH and check (draft) systematic withdrawals.

Setup/Change Rights of Accumulation (ROA)/Letter of Intent (LOI)

When selected, enables rights of accumulation (ROA) and letter of intent (LOI) information to be established and modified. If the fund company allows Auto ROA, Vision automatically assigns ROA numbers to all qualified related accounts. No ROA options will appear on the Setup Account Options window.

Setup/Change Interested Party

When selected, enables up to four names and addresses of interested parties to be established.

Change Telephone Redemption

When selected, enables telephone redemption options to be established and modified. These options default to telephone redemptions by check. This option will not display unless all the mutual funds selected allow telephone redemption.

Telephone Exchange (Check Box)

When selected, indicates that the shareowner is allowed to request exchanges by telephone. This field is optional.

Broker Options

Suitability Form

The new account suitability form helps the operator collect personal information to ensure that their customers' financial backgrounds are compatible with their investment selections. This information is not retained by the fund.

Brokerage Application

The brokerage application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchases by new customers, and use the less detailed suitability form for subsequent purchases.

Distribution Options

Select Distribution Options

Fund(s) Selected Today

Displays the names of the funds selected for new account establishment.

Dividends (Buttons)

- **Reinvest**—Indicates that dividends earned will be reinvested in the new account. This is the default.

- **Cash**—Indicates that dividends earned will be paid out in cash.

Capital Gains (Buttons)

- **Reinvest**—Indicates that capital gains earned will be reinvested in the new account. This is the default.

- **Cash**—Indicates that capital gains earned will be paid out in cash.

Cash Distributions

If **Cash** is selected as a distribution option for dividends or capital gains, the shareowner can receive payment by check, direct deposit, or a deposit to an existing account. Cash distribution options vary from fund to fund and only the options available for the selected fund(s) will appear in this window.

December 10, 1999

- **Pay by Check**—Indicates that dividends and capital gains will be issued in check form.

- **Pay by Direct Deposit**—Indicates that dividends and capital gains will be transmitted to the shareowner's bank account specified on the Bank Information screen. This option will appear only if the mutual fund allows distributions to be paid by ACH.

- **Deposit to Existing Account**—Indicates that dividends and capital gains will be reinvested in another account.

Deposit to Existing Account

Enter Deposit to Existing Account

Fund

From the drop-down list, select the name of the fund in which dividends and capital gains from the new account should be reinvested.

Account Number

Enter the number of the existing account in which dividends and capital gains from the new account should be reinvested.

Automatic Investment

Enter Automatic Investment

Plan Starting Month

Indicate the month in which automatic investments will begin by selecting a button. The current month is the default. The start date will be the first business day of the month selected.

Frequency

Select the frequency by clicking **Every Month** or by checking at least one box to indicate the month(s) in which systematic investment should occur.

Funds Selected Today

Displays the names of funds that allow automatic investment from the Select A Fund window. If the initial investment was waived on the Enter Investment Amount window, two red asterisks to the left of the fund name indicate that automatic investment is required.

$ Amount

Input the amount to be invested based on the investment frequency. If a systematic plan is selected, at least one field is required.

Minimum Investment

Displays the mutual fund's minimum investment amount.

Investment Days

Select the day(s) of the month to invest in the new account. Two days per fund may be selected by using the drop-down lists.

Automatic Withdrawal

Enter Automatic Withdrawal

Plan Starting Month

Indicate the month in which automatic withdrawal begins by selecting a button. The button for the current month is the default. The start date will be the first business day of the month selected.

Frequency

Indicate the frequency of automatic withdrawal by clicking **Every Month** or by selecting at least one withdrawal month.

Funds Selected Today

Displays the funds that allow ACH or check (draft) systematic withdrawals from the list of funds selected in the Select a Fund window. An error message will appear next to the fund name if the fund selected does not allow automatic withdrawal.

Amount

Input the amount to be withdrawn based on the frequency specified. If a systematic withdrawal plan is selected, at least one field is required.

Withdrawal Day of Month

Specify the day of the month on which withdrawals will be processed by selecting one day per fund from the drop-down list.

If JavaScript is disabled on your Internet browser, this field will not appear on the Enter Automatic Withdrawal window. Fill in the other fields and click **Next** to access an additional window where you can specify the withdrawal day.

Payment Type (Buttons)

- **Pay by Check**—Indicates that the withdrawal should be issued in check form and sent to the shareowner's address as indicated on the Shareowner Address window.

- **Pay by Direct Deposit**—Indicates that ACH withdrawals should be sent to the bank account specified on the Bank Account Information window. This is the default payment type.

Rights of Accumulation/Letter of Intent

Select Letter of Intent (LOI)/ Rights of Accumulation (ROA)

This window allows you to:

- Establish rights of accumulation for the new account, or
- Establish both a letter of intent and rights of accumulation for the new account

If Auto ROA is enabled for this fund and social code, this window will not
appear. New accounts will be automatically grouped for rights of accumulation
and you will advance to the Select LOI Option window.

Establish Rights of Accumulation

Select Rights of Accumulation (ROA) Option

Link New Accounts to an Existing ROA Number

Existing Fund

Use the drop-down box to select a fund that contains an ROA number that should
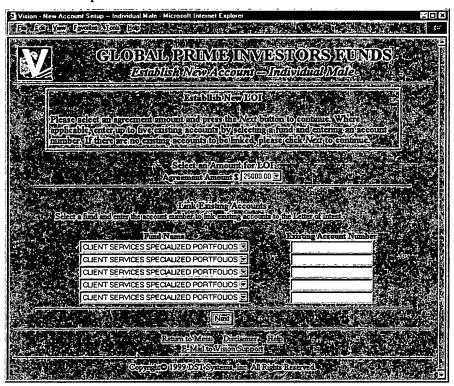be linked to the new accounts.

Account Number

Enter the account number of an account that contains an ROA number that
should be linked to the new accounts.

Link New Accounts to a New ROA Number

Establish New ROA

Fund Name

Use the drop-down box to select a fund that contains an ROA number that should be linked to the new accounts.

Existing Account Number

Enter the number of the existing account that should be linked to the new ROA number.

Establish Both LOI and ROA

Select Letter of Intent (LOI)/Rights of Accumulation (ROA) Option

Link New Accounts to Existing LOI and ROA Numbers

Existing Fund

Use the drop-down list to select the name of a fund containing an LOI and/or ROA number that should be linked to the new accounts.
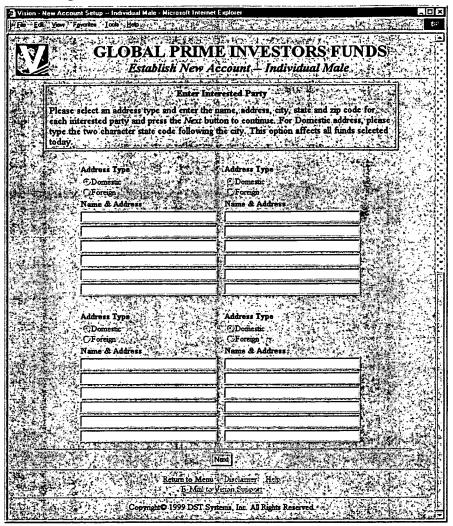
Account

Enter the number of the account containing an LOI and/or ROA number that should be linked to the new accounts.

Link New Accounts to New LOI and ROA Numbers

Establish New LOI/ROA

Select an Amount for LOI

This drop-down list contains the available LOI agreement amounts.

Fund Name

Use the drop-down list to select the names of funds that should be linked to the new LOI/ROA number.

Existing Account Number

Enter the number of the existing account(s) that should be linked to the new LOI/ROA number.

Link New Accounts to a New LOI Number and an Existing ROA Number

Existing Fund

Use the drop-down list to select the name of a fund containing an ROA number that should be linked to the new accounts.

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Account

Enter the number of the account containing an ROA number that should be linked to the new accounts.

Click **Next** to open the Establish New LOI window.

Establish New LOI

Select an Amount for LOI

This drop-down list contains the available LOI agreement amounts.

Fund Name

Use the drop-down list to select the names of funds that should be linked to the new LOI.

Existing Account Number

Enter the number of the existing account(s) that should be linked to the new LOI.

Link New Accounts to an Existing LOI Number and a New ROA Number

Existing Fund

Use the drop-down list to select the name of an account containing an LOI that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI that should be linked to the new accounts.

Click **Next** to advance to the Establish New ROA window. See page 96 for a description of the controls in this window.

Auto ROA

If the fund company allows Auto ROA, Vision automatically assigns ROA numbers to all qualified related accounts. The Select Letter of Intent (LOI) option will appear when you click the Letter of Intent hyperlink on the Setup Account options window.

Select Letter of Intent (LOI) Option

Link New Accounts to an Existing LOI Number

Existing Fund

Use the drop-down list to select the name of a fund containing an existing LOI number that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI number that should be linked to the new accounts.

Link New Accounts to a New LOI Number

Selecting this option will open the Establish New LOI window. See page 99 for a description of the controls on this window.

Interested Party

Enter Interested Party

Address Type

Designates the address of an interested party as a domestic or foreign address.

Name and Address

Enter the name and address for the Interested Party. Lines 2 through 6 are for an address, city, state and zip code. This information is optional. City, state and zip code must be entered in the following format:

CITY NAME, STATE CODE (TWO CHARACTERS) ZIP CODE

Select Telephone Redemption

Select Telephone Redemption

Funds Selected Today

Displays the name of the funds selected on the Select a Fund window. Only the mutual funds that allow telephone redemption will appear here.

Telephone Redemption Options (Buttons)

- **Allow telephone redemptions by check**—Indicates that telephone redemptions should be issued by check. This is the default.

- **Allow telephone redemptions by check or direct deposit**—Indicates that telephone redemptions can be issued by either check or ACH.

- **Do not allow telephone redemptions**—Disallows telephone redemptions for the new accounts.

Select Telephone Exchange

Select Telephone Exchange

Fund Name

Indicates the funds available for the telephone exchange option. If a check box is not displayed, telephone exchange is automatically turned on for that fund.

Brokerage and Suitability Forms

From the Set Up Account options window, the operator can select either one of two forms to determine ensure a good match between the fund, the investment selections, and the customer's financial background. You can access either of these electronic forms any time during new account establishment from the hyperlinks at the bottom of the Set Up Account Options window.

Suitability Form

The New Account Suitability form allows the operator to compile personal information about customers to ensure their financial backgrounds are compatible with their investment selections. This information is not retained by the fund.

Brokerage Application

The Brokerage Application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchase by a new customer, and complete the less detailed suitability

form for subsequent purchases. This information is often used to establish a new account with the brokerage and is not retained by the fund.

New Account Suitability Information

Enter New Account Suitability Information

The following questions represent information required by your broker to produce a Suitability Application for the new accounts being established. Please enter the applicable information and press the *Next* button to continue. If you are not certain of a particular value, please make a reasonable estimation.

Personal Information

Investor Name: SIDONIE-GABRIELLE COLETTE
Occupation:
Nature of Business:
SSN: 264-11-7472
Birthdate: (MM/DD/YYYY)
Home Phone Number:
Business Phone Number: (816)435-8105
Marital Status: ○ Single ○ Married ○ Widowed
Number of Dependents:
Tax Bracket: %
Annual Income: $
Liquid Assets: $
Net Worth: $ (excluding home and personal property)
Is the Investor employed by or associated with a member firm of NASD? ○ Yes ● No

Investment Information

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	$ 50.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	$ 100.00
CLIENT SERVICES LOAD FUND (531545101)	CLASS A SHARES	$ .00
CLIENT SERVICES LOAD TEST FUND (54004107)	CLASS A SHARES	$ 200.00

Total: $ 350.00

Source of Funds
- Inheritance
- Rollover
- Pension Distribution
- Personal
- Transfer
- Other

Purpose(s) of Investment
- Retirement
- Professional Management
- Diversified Investment
- Accumulated Savings
- Gift
- Other

Portfolio Objective(s)
- Growth
- Income
- Safety of Principal
- Total Return
- Tax Deferral
- Other

Investment Experience:
Years of Investing
- Stocks
- Bonds
- Mutual Funds
- Partnerships
- Options
- Other

Broker Use Only
Broker Reference Number:

[Next]

[Return to Menu | Disclaimer | Help | E-Mail to Vision Support]

New Account Suitability Information

Personal Information

Investor Name

Displays the shareowner's name as it appears on the Enter Registration Information window.

Occupation

An entry field for the primary shareowner's occupation.

Nature of Business

An entry field for a brief description of the primary shareowner's occupation.

SSN

Allows entry of the primary shareowner's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the primary shareowner's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the primary shareowner's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the primary shareowner's business phone number if none was indicated on Enter Shareowner Address window.

Marital Status

Click one of the buttons to indicate the marital status of the investor.

Number of Dependents

Enables you to enter the number of dependents claimed by the investor.

Tax Bracket

Enables you to enter the investor's federal income tax percentage.

Annual Income

Enables you to enter the investor's annual income.

Liquid Assets

Enables you to enter the amount of the investor's liquid assets.

Net Worth

Enables you to indicate the investor's net worth (excluding home and personal property).

Is the Investor employed by or associated with a member firm or NASD?

Enables you to indicate whether the investor is employed by or associated with a member firm of the National Association of Securities Dealers (NASD).

Joint Investor Information

Joint Investor

Displays the minor or first shareowner specified on a joint account as it appears on the Enter Registration Information window.

Occupation

An entry field for the joint investor's occupation.

Nature of Business

An entry field for a brief description of the joint investor's occupation.

SSN

Allows entry of the joint investor's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the joint investor's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the joint investor's business phone number if none was indicated on Enter Shareowner Address window.

Annual Income

Enables you to enter the joint investor's annual income.

Liquid Assets

Enables you to enter the amount of the joint investor's liquid assets.

Net Worth

Enables you to indicate the joint investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the joint investor's federal income tax percentage.

Minor Information

Minor Name

Displays the minor's name if listed on the Enter Registration Information window.

Minor SSN

Enables you to enter the minor's Social Security number (the SSN will fill in automatically if it was entered on a previous window).

Minor Birthdate

Enables you to enter the minor's date of birth.

Investment Selection

Fund Name (CUSIP)

Displays the name(s) of the fund(s) indicated on the Select a Fund window.

Share Class

Displays the share class of all funds indicated on the Select a Fund window.

Initial Investment Amount

Displays the initial investment amount for each fund.

Total

Displays the total dollar amount for all new accounts being established.

Payment Type

Displays the method of payment chosen for the investment selections.

Source of Funds

Check one or more boxes to indicate how the investment will be funded or use the "Other" box to specify a source that is not on this list.

Purpose(s) of Investment

Check one or more boxes to indicate the reasons for the investment selections funded or use the "Other" box to specify a reason that is not on this list.

Portfolio Objective(s)

Check one or more boxes to indicate the objectives of the mutual funds selected use the "Other" box to specify an objective that is not on this list.

Investment Experience

Enter the number of years and check one or more boxes to indicate the type of investment experience. You can also use the "Other" box to specify any investment experience that is not on this list.

Broker Use Only

Broker Reference Number

Enables you to assign a broker reference number to this trade.

Once all the information is entered, click **Next**. The Verify New Account Suitability Information window appears.

If all the information is correct, click **Next** to return to the Setup Account Options window, or click **Back** to correct any errors.

When you have selected all the options for this account, click **Next** to advance to the Account Application Verification window.

Broker Application

Broker Application Information window (Part I)

Broker Application Information window (Part II)

Personal Information

Account Identifier

Click one of these buttons to indicate whether the investor is a new or existing customer.

Employee Account

Click one of these buttons to indicate whether the investor is an employee of the brokerage firm.

Investor Name

Displays the shareowner's name as indicated on the Enter Registration Information window.

Occupation

Enables you to indicate the investor's occupation.

Nature of Business

Enables you to enter a brief description of the investor's occupation.

Employer Name

Enables you to enter the name of the investor's employer.

Employer Address

Enables you to indicate the address of the investor's employer.

Number of Years Employed

Enables you to specify the number of years the investor has been employed.

SSN

Enables you to enter the investor's Social Security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the investor's home telephone number.

Business Phone Number

Enables you to enter the investor's business telephone number (the number will fill in automatically it was listed on a previous window).

Address

Displays the investor's address as indicated on the Enter Shareowner Address window.

Type

Displays the type of registration.

Citizenship

Displays the shareowner's citizenship as specified on the Enter Registration Information window.

Marital Status

Click one of these buttons to indicate the marital status of the investor.

Number of Dependents

Enables you to enter the number of dependents claimed by the investor.

Annual Income

Enables you to enter the investor's annual income.

Liquid Assets

Enables you to enter the amount of the investor's liquid assets.

Net Worth

Enables you to indicate the investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the investor's federal income tax percentage.

Is investor licensed as a Registered Representative?

Click one of these buttons to indicate whether the investor is licensed as a Registered Representative.

If yes, broker/dealer name

If yes, (above), the name of the broker/dealer.

Is investor related to a Registered Representative?

Click one of these buttons to indicate whether the investor is related to a Registered Representative.

If yes, name of Registered Representative

If yes (above), enter the Registered Representative's name.

Is investor a director/officer of a publicly traded company?

Click one of these buttons to indicate whether the investor is a director or officer of a publicly traded company.

If yes, name of company

If yes (above), enter the name of the company.

Is investor employed by, or associated with, a member firm of NASD?

Click one of these buttons to indicate whether the investor is employed by, or associated with, a member firm of the National Association of Securities Dealers (NASD).

Joint Investor Information

Joint Investor

Displays the minor or first shareowner specified on a joint account as it appears on the Enter Registration Information window.

Occupation

An entry field for the joint investor's occupation.

Nature of Business

An entry field for a brief description of the joint investor's occupation.

Employer Name

Enables you to enter the name of the joint investor's employer.

Employer Address

Enables you to indicate the address of the joint investor's employer.

Number of Years Employed

Enables you to specify the number of years the joint investor has been employed.

SSN

Allows entry of the joint investor's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the joint investor's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the joint investor's business phone number if none was indicated on Enter Shareowner Address window.

Annual Income

Enables you to enter the joint investor's annual income.

Liquid Assets

Enables you to enter the amount of the joint investor's liquid assets.

Net Worth

Enables you to indicate the joint investor's net worth (excluding home and personal property).
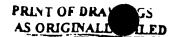
Tax Bracket

Enables you to enter the joint investor's federal income tax percentage.

Minor Information

Minor Name

Displays the minor's name if listed on the Enter Registration Information window.

Minor SSN

Enables you to enter the minor's Social Security number (the SSN will fill in automatically if it was entered on a previous window).

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Minor Birthdate

Enables you to enter the minor's date of birth.

Investment Selection

Fund Name (CUSIP)

Displays the name(s) of the fund(s) indicated on the Select a Fund window.

Share Class

Displays the share class of all funds indicated on the Select a Fund window.

Initial Investment Amount

Displays the initial investment amount for each fund.

Total

Displays the total dollar amount for all new accounts being established.

Purchase Type

Displays the method of payment chosen for the investment selections.

Source(s) of Funds

Enables you to indicate the source(s) of the investment dollars.

Purpose(s) of Investment

Enables you to indicate the reason(s) for the investment.

Portfolio Objective(s)

Enables you to indicate the objective(s) of the mutual fund selected.

Investment Experience

Enables you to indicate the amount and type of the investor's experience.

Portfolio Time Horizon

Enables you to indicate the time frame for the investor's future investments.

Risk Exposure

Enables you to indicate the degree of exposure the investor is willing to risk.

Dealer Information

Dealer Name

Displays the name of the dealer as shown on the Enter Representative Information window.

Dealer/Branch Number

Displays the dealer and branch number shown on the Enter Representative Information window.

Representative Name

Displays the name of the representative as shown on the Enter Representative Information window.

Representative Phone Number

Enables you to enter the dealer representative's phone number.

Reference Information

Broker Reference

Enables you to enter a broker reference number for the investor.

Personal Reference

Enables you to enter a personal reference number for the investor.

Bank Reference

Enables you to enter a bank reference number for the investor.

Broker Use Only

Broker Trade Reference Number

Enables you to assign a broker reference number to this trade.

Once all the information is entered, click **Next**. The Verify Broker Application Information window appears.

If all the information is correct, click **Next** to return to the Setup Account Options window, or click **Back** to correct any errors.

When you have selected all the options for this account, click **Next** to advance to the Account Application Verification window.

Account Application Verification

The Account Application Verification window allows for the review of all information entered prior to printing or submitting the new account for setup.

There are several versions of this window depending on the account type and payment method. If the initial investment will be paid via ACH, bank instructions will appear in this window. For payment by check, click the **Display/Print Application** button to print a copy of the application that you can mail to the fund with the check.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account – JOINT TENANT

Account Application Verification

Please page down to review the information below and use the back button to return to the appropriate page to make any changes before submitting and/or printing.

Registration Information

SIDONIE-GABRIELLE COLETTE &
HENRI DE JOUVENAL JTWROS
3731 WYOMING ST APT 2N
KANSAS CITY MO 64111-3855

Type: JOINT TENANT
SSN: 264-11-7472
Citizenship: Resident Alien
Bus. Phone: (816)435-8105
E-mail: sgc@chsri.com

Investment Selection

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	$ .00
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	$ .00
NO-LOAD FUND (CUSIP9500)	CLASS A SHARES	$ 50.00
CLIENT SERVICES LOAD FUND (531545101)	CLASS A SHARES	$ 250.00
CLIENT SERVICES LOAD TEST FUND (54400410T)	CLASS A SHARES	$ 225.00

Payment Type: Electronically Debit Customer's Bank Account   Total: $ 525.00

Bank Account Information for Initial Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

Account Information

Distribution:

CLIENT SERVICES SPECIALIZED PORTFOLIOS — Reinvest dividends / Reinvest capital gains

CLIENT SERVICES MONEY MARKET FUND — Pay dividends by check / Pay capital gains by check

NO-LOAD FUND — Pay dividends by direct deposit / Pay capital gains by direct deposit

CLIENT SERVICES LOAD FUND — Reinvest dividends and capital gains to NO-LOAD FUND
Account: 3000
Registration Information
DEBBIE R LOPEZ
503 PACIFIC DR
BELTON MO 64012-2935

CLIENT SERVICES LOAD TEST FUND — Pay dividends by check / Pay capital gains by check
Bank Account Information for Distribution
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

Account Application Verification (Part I)

Account Application Verification (Part II)

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays the fund name, share class, initial investment amount, total investment, payment type, and bank instructions for all funds selected. The **Initial Investment Amount** will display as "0.00" if the initial investment was waived. **Total, Payment Type** and **Bank Account Information** for Initial Investment will not appear if the initial investment was waived for all funds selected.

Account Options

Distributions

Displays the dividend and capital gains processing instructions for each mutual fund selected. The reinvest to account registration will appear for mutual funds when the reinvestment diversification plan was selected. Additionally, for mutual funds paying dividends and capital gains by direct deposit, the bank accounts instructions will appear.

Automatic Investment

Displays the plan starting month, investment frequency, investment amounts and days, and bank instructions.

Automatic Withdrawal

Displays the plan starting month, withdrawal frequency, investment amounts and days, and bank instructions.

Letter of Intent

Displays the LOI options specified, the registration information for existing accounts linked to the new LOI, and the LOI information and registration information where the new account were linked to an existing LOI.

Rights of Accumulation

Displays the ROA options specified, the registration information for existing accounts linked to the new ROA, and the ROA information and registration information where the new accounts were linked to an existing ROA.

Interested Party

Displays up to four interested parties' names and addresses.

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Telephone Redemption

Displays the telephone redemption processing options and bank instructions.

Telephone Exchange

Indicates whether or not telephone exchange was specified.

Representative Information

Displays the dealer number and name, branch number, representative number and name as well as the representative phone number.

Establish Account(s) Electronically

Press this button to format and transmit the new account information to the fund through the Web server. The accounts will be established in real time. The confirmation or remittance will include the trade reference code and account number established for each mutual fund selected.

Display/Print Application (for Payment by Check)

This button appears only if you selected **Mail Check to the fund** as the payment type on the Enter Investment Amount window and allows you to print a copy of the application to mail to the fund with the check.

Account Application Confirmation (ACH Payment)

If the shareholder is establishing an account via ACH, an Account Application Confirmation window appears.

Account Application Confirmation

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Application

Click this button to display a printable Account Application including the account numbers as well as spaces for shareowner signature(s) in a separate frame.

Account Application Remittance (Payment by Check)

The Account Application Remittance form will appear if the account is established electronically and the initial purchase will be settled by check. The remittance form includes shareowner account information, investment selections, and the new account numbers. The form should be printed and remitted to the fund company along with the shareowner's check.

Account Application Remittance

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Application

Click this button to display a printable Account Application including the account numbers as well as spaces for shareowner signature(s) in a separate frame.

New Account Application/Adoption Agreement

This window allows the operator to print a copy of the completed application including the fund-specific text, registration information, investment selections, new account numbers, account options, and an area for the shareowner's signature and date.

For fiduciary accounts, the New Account Application includes beneficiary information and an adoption agreement.

New Account Application (Part I)

New Account Application (Part II)

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.
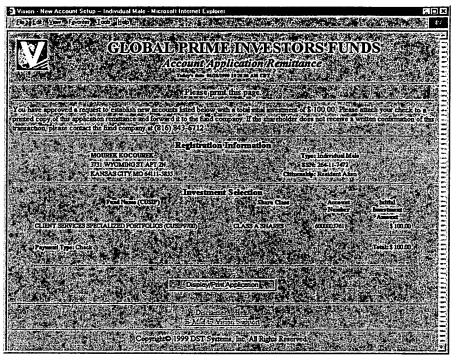
Display/Print Brokerage or Suitability Application

If you completed a brokerage or suitability application during new account setup, you can display or print a copy of the form by clicking this button.

Appendix A:
State/Country Abbreviations

If the registration type is Uniform Gift/Transfer to Minors (UTMA/UGMA), the Web sends a two-character state abbreviation to the Registration Format view identified by the transaction ID of EDITSCRB2@VISION. It is used to verify if the state allows UTMAs or UGMAs. This applies only to domestic U.S. postal codes.

The Web sends a two-character state/country abbreviation plus a domestic/foreign indicator from the REG Transaction Variable Repeatable Request Date area to the New Account Establishment view identified by the transaction ID of NASUUPDT@VISION.

If the user selects "U.S. Citizenship" or "Resident Alien" on the registration page, the state/country code will be the state abbreviation (from the list below) plus an indicator of "D" for "domestic."

If the user selects "Non-Resident Alien" on the registration page, the resident state/country code will be the country code (from the list below) plus an indicator of "F" for foreign.

For example, if the state/country code is "CA" and the indicator is "D," this will be matched with "California." If the indicator is "F," it will be matched with "Canada."

APO/FPO US ABR is an exception. Because it has no postal code or US IRS code associated with it, the Web sends an '099' in the resident state country code.

Postal Code	State/Country	Domestic Indicator
AL	ALABAMA	D
AK	ALASKA	D
AZ	ARIZONA	D
AR	ARKANSAS	D
CA	CALIFORNIA	D
CO	COLORADO	D
CT	CONNECTICUT	D
DE	DELAWARE	D
DC	DIST OF COLUMBIA	D

Postal Code	State/Country	Dom stic Indicat r
FL	FLORIDA	D
GA	GEORGIA	D
HI	HAWAII	D
ID	IDAHO	D
IL	ILLINOIS	D
IN	INDIANA	D
IA	IOWA	D
KS	KANSAS	D
KY	KENTUCKY	D
LA	LOUISIANA	D
ME	MAINE	D
MD	MARYLAND	D
MA	MASSACHUSETTS	D
MI	MICHIGAN	D
MN	MINNESOTA	D
MS	MISSISSIPPI	D
MO	MISSOURI	D
MT	MONTANA	D
NE	NEBRASKA	D
NV	NEVADA	D
NH	NEW HAMPSHIRE	D
NJ	NEW JERSEY	D
NM	NEW MEXICO	D
NY	NEW YORK	D
NC	NORTH CAROLINA	D
ND	NORTH DAKOTA	D
OH	OHIO	D
OK	OKLAHOMA	D
OR	OREGON	D

P stal Code	State/Country	D m stic Indicat r
PA	PENNSYLVANIA	D
RI	RHODE ISLAND	D
SC	SOUTH CAROLINA	D
SD	SOUTH DAKOTA	D
TN	TENNESSEE	D
TX	TEXAS	D
UT	UTAH	D
VT	VERMONT	D
VA	VIRGINIA	D
WA	WASHINGTON	D
WV	WEST VIRGINIA	D
WI	WISCONSIN	D
WY	WYOMING	D
	APO/FPO US ABR	D
OC	OTHER COUNTRIES	F
AF	AFGHANISTAN	F
AL	ALBANIA	F
AG	ALGERIA	F
AQ	AMERICAN SAMOA	F
AN	ANDORRA	F
AO	ANGOLA	F
AV	ANGUILLA	F
AY	ANTARCTICA	F
AC	ANTIGUA & BARBUDA	F
AR	ARGENTINA	F
AM	ARMENIA	F
AA	ARUBA	F
AT	ASMORE AND CARTIER ISLANDS	F
AS	AUSTRALIA	F

Postal C de	State/Country	D mestic Indicator
AU	AUSTRIA	F
AJ	AZERBAIJAN	F
BF	THE BAHAMAS	F
BA	BAHRAIN	F
FQ	BAKER ISLAND	F
BG	BANGLADESH	F
BB	BARBADOS	F
BS	BASSAS DA INDIA	F
BO	BELARUS	F
BE	BELGIUM	F
BH	BELIZE	F
BN	BENIN	F
BD	BERMUDA	F
BT	BHUTAN	F
BL	BOLIVIA	F
BK	BOSNIA-HERCEGOVINA	F
BC	BOTSWANA	F
BV	BOUVET ISLAND	F
BR	BRAZIL	F
VI	BRITISH VIRGIN ISLANDS	F
IO	BRITISH INDIAN OCEAN TERRITORY	F
BX	BRUNEI	F
BU	BULGARIA	F
UV	BURKINA FASO	F
BM	BURMA	F
BY	BURUNDI	F
CB	CAMBODIA	F
CM	CAMEROON	F
CA	CANADA	F

P stal C de	State/Country	D mestic Indicator
CV	CAPE VERDE	F
CJ	CAYMAN ISLANDS	F
CT	CENTRAL AFRICAN REPUBLIC	F
CD	CHAD	F
CI	CHILE	F
CH	PEOPLE'S REPUBLIC OF CHINA	F
KT	CHRISTMAS ISLAND	F
IP	CLIPPERTON ISLAND	F
CK	COCOS (KEELING) ISLANDS	F
CO	COLOMBIA	F
CN	COMOROS	F
CF	CONGO	F
CW	COOK ISLANDS	F
CR	CORAL SEA ISLANDS TERRITORY	F
VP	CORSICA	F
CS	COSTA RICA	F
IV	COTE D'IVOIRE	F
HR	CROATIA	F
CU	CUBA	F
CY	CYPRUS	F
EZ	CZECH REPUBLIC	F
DA	DENMARK	F
DJ	DJIBOUTI	F
DR	DOMINICAN REPUBLIC	F
DO	DOMINICA	F
EC	ECUADOR	F
EG	EGYPT	F
ES	EL SALVADOR	F
EK	EQUATORIAL GUINEA	F

Postal Code	State/Country	Domestic Indicator
ER	ERITREA	F
EN	ESTONIA	F
ET	ETHIOPIA	F
EU	EUROPA ISLAND	F
FK	FALKLAND ISLANDS	F
FO	FAROE ISLANDS	F
FJ	FIJI	F
FI	FINLAND	F
FR	FRANCE	F
FG	FRENCH GUIANA	F
FP	FRENCH POLYNESIA	F
FS	FRENCH SOUTHERN & ANTARTIC LANDS	F
GB	GABON	F
GA	GAMBIA	F
GZ	GAZA STRIP	F
GG	GEORGIA	F
GM	GERMANY	F
GH	GHANA	F
GI	GIBRALTAR	F
GO	GLORIOSO ISLANDS	F
GR	GREECE	F
GL	GREENLAND	F
GJ	GRENADA	F
VC	GRENADINE ISLANDS	F
GP	GUADELOUPE	F
GQ	GUAM	F
GT	GUATEMALA	F
GK	GUERNSEY	F
GV	GUINEA	F

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Postal Code	State/Country	D mestic Indicator
PU	GUINEA-BISSAU	F
GY	GUYANA	F
HA	HAITI	F
HM	HEARD ISLAND & MCDONALD ISLANDS	F
HO	HONDURAS	F
HK	HONG KONG	F
HQ	HOWLAND ISLAND	F
HU	HUNGARY	F
IC	ICELAND	F
IN	INDIA	F
ID	INDONESIA	F
IR	IRAN	F
IZ	IRAQ	F
EI	IRELAND	F
IM	ISLE OF MAN	F
IS	ISRAEL	F
IT	ITALY	F
JM	JAMAICA	F
JN	JAN MAYEN	F
JA	JAPAN	F
JU	JAUN DE NOVA ISLAND	F
JE	JERSEY	F
JQ	JOHNSTON ATOLL	F
JO	JORDAN	F
KZ	KAZAKHSTAN	F
KE	KENYA	F
KQ	KINGMAN REEF	F
KR	KIRIBATI	F
KU	KUWAIT	F

P stal C de	Stat /C untry	Dom stic Indicator
KG	KYRGYZSTAN	F
LA	LAOS	F
LG	LATVIA	F
LE	LEBANON	F
LT	LESOTHO	F
LI	LIBERIA	F
LY	LIBYA	F
LS	LIECHTENSTEIN	F
LH	LITHUANIA	F
LU	LUXEMBOURG	F
MC	MACAU	F
MK	MACEDONIA	F
MA	MADAGASCAR	F
MI	MALAWI	F
MY	MALAYSIA	F
MV	MALDIVES	F
ML	MALI	F
MT	MALTA	F
RM	MARSHALL ISLANDS	F
MB	MARTINIQUE	F
MR	MAURITANIA	F
MP	MAURITIUS	F
MF	MAYOTTE	F
MX	MEXICO	F
FM	MICRONESIA	F
MQ	MIDWAY ISLANDS	F
MD	MOLDOVA	F
MN	MONACO	F
MG	MONGOLIA	F

Postal Code	State/Country	Domestic Indicator
MW	MONTENEGRO	F
MH	MONTSERRAT	F
MO	MOROCCO	F
MZ	MOZAMBIQUE	F
WA	NAMIBIA	F
NR	NAURU	F
BQ	NAVASSA ISLAND	F
NP	NEPAL	F
NL	NETHERLANDS	F
NT	NETHERLANDS ANTILLES	F
NC	NEW CALEDONIA	F
NZ	NEW ZEALAND	F
NU	NICARAGUA	F
NG	NIGER	F
NI	NIGERIA	F
NE	NIUE	F
CQ	NORTHERN MARIANA ISLANDS	F
NF	NORFOLK ISLAND	F
KN	NORTH KOREA	F
NO	NORWAY	F
MU	OMAN	F
PK	PAKISTAN	F
PS	PALAU	F
LQ	PALMYRA ATOLL	F
PM	PANAMA	F
PP	PAPUA NEW GUINEA	F
PF	PARACEL ISLANDS	F
PA	PARAGUAY	F
PE	PERU	F

Postal Cd	State/Country	Domestic Indicator
RP	PHILIPPINES	F
PC	PITCAIRN ISLAND	F
PL	POLAND	F
PO	PORTUGAL	F
RQ	PUERTO RICO	F
QA	QATAR	F
RE	REUNION	F
RO	ROMANIA	F
RS	RUSSIA	F
RW	RWANDA	F
SM	SAN MARINO	F
TP	SAO TOME & PRINCIPE	F
SA	SAUDI ARABIA	F
SG	SENEGAL	F
SR	SERBIA	F
SE	SEYCHELLES	F
SL	SIERRA LEONE	F
SN	SINGAPORE	F
LO	SLOVAKIA	F
SI	SLOVENIA	F
BP	SOLOMON ISLANDS	F
SO	SOMALIA	F
SX	SOUTH SANDWICH ISLANDS	F
SF	SOUTH AFRICA	F
SX	SOUTH GEORGIA	F
KS	SOUTH KOREA	F
SP	SPAIN	F
PG	SPRATLY ISLANDS	F
CE	SRI LANKA	F

P stal Cod	State/Country	Dom stic Indicator
SH	ST HELENA	F
SC	ST KITTS AND NEVIS	F
ST	ST LUCIA	F
SB	ST PIERRE & MIQUELON	F
SU	SUDAN	F
NS	SURINAME	F
SV	SVALBARD	F
WZ	SWAZILAND	F
SW	SWEDEN	F
SZ	SWITZERLAND	F
SY	SYRIA	F
TW	TAIWAN	F
TI	TAJIKISTAN	F
TZ	TANZANIA	F
TH	THAILAND	F
TO	TOGO	F
TL	TOKELAU	F
TN	TONGA	F
TD	TRINIDAD AND TOBAGO	F
TE	TROMELIN ISLAND	F
TS	TUNISIA	F
TU	TURKEY	F
TX	TURKMENISTAN	F
TK	TURKS AND CAICOS	F
TV	TUVALU	F
UG	UGANDA	F
UP	UKRAINE	F
UK	UNITED KINGDOM	F
UY	URUGUAY	F

Postal Cod	State/Country	Domestic Indicator
TC	UTD ARAB EMIRATES	F
UZ	UZBEKISTAN	F
NH	VANUATU	F
VT	VATICAN CITY	F
VE	VENEZUELA	F
VM	VIETNAM	F
VQ	VIRGIN ISLANDS	F
WQ	WAKE ISLAND	F
WF	WALLIS & FUTUNA	F
WE	WEST BANK	F
WI	WESTERN SAHARA	F
WS	WESTERN SAMOA	F
YM	YEMEN	F
CG	ZAIRE	F
ZA	ZAMBIA	F
ZI	ZIMBABWE	F

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Appendix B:

ICI Fund Investment Objective Codes

Value	Description
000	Aggressive Growth
001	Growth
002	Growth and Income
003	Balanced
004	Income
005	Corporate Bond
006	Short-Term Municipal
007	Long-Term Municipal
008	Option Income
009	Money Market
010	Government
011	Ginnie Mae
012	Precious Metals
013	International
014	State Municipal-Long Term
015	State Municipal-Short Term
016	Global Equity
017	Income-Equity
018	Income-Bond
019	High-Yield Bond
020	Global Bond
021	Flexible Portfolio
022	Mortgage

Valu	Description
023	Equity Income
024	Small Company
025	High-Quality Municipal Bond
026	High Yield
027	Municipal Bond
028	International Bond
029	International Equity
030	Long-Term Growth
031	Government Money Market
032	Taxable Money Market
033	Tax-Free Money Market
034	Other Specialty Funds
035	Asset Allocation
036	Single State Municipal Bond
037	Total Return
038	Utility
039	Index
050	Equity Variable Annuities
051	Bond and Income Annuities
060	All Funds Not Offering Shares
061	Micropal Fund Type Selection
062	Guaranteed Investment

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